DOCUMENT RESUME

ED 225 307 EA 015 543

TITLE Annual Evaluation Report on Programs Administered by the U.S. Office of Education: Fiscal Year 1978.

INSTITUTION Office of Education (DHEW), Washington, D.C. Office of Evaluation and Dissemination.

PUB DATE 78

NOTE 682p.; Some tables and appendix A are marginally reproducible. For related documents, see ED 154 532 and EA 015 544.

PUB TYPE Reports - Evaluative/Feasibility (142) -- Statistical Data (110)

EDRS PRICE MF04/PC28 Plus Postage.

DESCRIPTORS Access to Education; Adult Education; Disabilities; Early Childhood Education; *Educational Assessment; Educational Resources; Elementary Secondary Education; Equal Education; Evaluation Utilization; Federal Aid; *Federal Programs; Postsecondary Education; Program Descriptions; Program Effectiveness; *Program Evaluation; Special Education; Tables (Data); Vocational Education

ABSTRACT

Based on data available through June 30, 1978, this report covers all programs administered by the Office of Education (OE). Introductory sections describe OE's evaluation strategies (involving impact and process studies, technical assistance, and identification of effective programs); present highlights from OE evaluation studies in fiscal year 1978; and discuss the uses of evaluation activities, including their effects on budget, program, and legislative decisions. Federal programs' impact on access to quality education is reviewed in eight areas, including basic skills, improving educational practices, and reducing financial barriers. Program-by-program descriptions look at each program's funding history, mandating legislation, goals and objectives, operations, scope, effectiveness, progress, and evaluation studies. OE's 15 elementary and secondary programs include such areas as disadvantaged and bilingual education, educational innovation, and equalization. Thirty postsecondary education programs range from student financial aid to legal training. For the handicapped, 13 programs extend from preschool grants to regional resource services. Career, occupational, and adult education includes 10 programs. The 22 developmental programs go from teacher training to educational media. Two appendices list OE evaluation contracts as of January 1979 and discuss implementation of Title I of the Elementary and Secondary Education Act. (RW)

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Annual Evaluation Report on Programs Administered by the U.S. Office of Education

Fiscal Year 1978

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EA 015 543

U.S. Department of Health, Education, and Welfare
Office of Education

Office of Evaluation and Dissemination

ANNUAL EVALUATION REPORT
ON PROGRAMS
ADMINISTERED BY THE U.S.
OFFICE OF EDUCATION
FY 1978

PREPARED BY THE OFFICE OF PLANNING, BUDGETING, AND EVALUATION, OFFICE OF EDUCATION

DEPARTMENT OF HEALTH, EDUCATION AND WELFARE, WASHINGTON, D.C.

The reader should note that material in this annual report is current as of June 30, 1978. The material does not, consequently, include revisions made in programs by the Education Amendments of 1978 (P.L. 95-561) which were signed into law on November 1, 1978.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS: FY 1978

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FOREWARD

This is the eighth Annual Evaluation Report submitted to the Congress by the Secretary of Health, Education, and Welfare on behalf of the U.S. Office of Education (OE). Prepared by OE's Office of Planning, Budgeting, and Evaluation, it reviews programs administered by OE, and Provides for nearly all programs:

- a brief funding history;
- a description of program goals and objectives;
- a review of program operations;
- an analysis of program scope;
- a report on program effectiveness and progress; and
- a listing of ongoing and planned evaluation studies.

Formal evaluations have not been carried out on many of the OE programs. For those, the historical information on legislation and budget, the descriptive information on program activities, and a list of ongoing evaluation studies are provided. As the evaluations are completed, summaries of their findings are added to the report. Thus the report constitutes an annual updating of the accumulating evaluation knowledge about the effectiveness of OE programs.

A major section again in this year's report, entitled "Uses of Evaluation Activities," addresses the important question of what effect do the findings of evaluation studies have on program-policy and program-management decisions, on budget levels, and on legislative proposals and action. It also addresses the question of the effect of other evaluation activities, such as technical assistance to the field.

It is our hope and expectation that this Annual Evaluation Report will provide useful information to the Congress and to the agencies of the Executive Branch, to State and local policymakers, journalists, educational practitioners, and researchers everywhere. For those of you who do make use of the Report, I welcome any suggestions for improvement. Additional single copies of the Fiscal Year 1978 report may be obtained from this office through Ms. Yvonne Briscoe, Room 4079, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

John W. Evans
Assistant Commissioner

Annual Evaluation Report on Programs
Administered by the U.S. Office of Education

A. Introduction

Section 417 of the General Education Provisions Act, as amended by P.L. 93-380 dated August 21, 1974, requires that "...the Secretary shall transmit to the Committee on Education and Labor of the House of Representatives and the Committee on Labor and Public Welfare of the Senate an annual evaluation report which evaluates the effectiveness of applicable programs in achieving their legislated purposes..."

This report is the eighth annual comprehensive evaluation report. It updates the information in the FY 1977 report by incorporating the results of evaluation studies completed through June 1978 as well as additional information obtained from program operations and monitoring activities. * It also provides detail on program goals and objectives, discusses progress towards meeting these goals and objectives, identifies the principal studies supporting the conclusions about program effectiveness, and briefly describes each evaluation contract negotiated or in process during FY 1978.

In addition, this annual report incorporates the annual reports required in P.L. 93- 380:

- Section 151 - Program Evaluation, ESEA Title I
- Section 731 - Reading Improvement Program
- Section 841(a)(7) - Bilingual Vocational Program

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* It should be noted that the report covers U.S. Office of Education programs as of June 30, 1978. Budgetary, legislative, program revisions and new evaluation data subsequent to that date are not included. In view of the necessary clearances and the November 1 due date, it was not possible to include all activities of FY 1978.

Because not all programs have yet been the subject of formal evaluations, information about effectiveness has varying degrees of "hardness" and objectivity. The most objective effectiveness data result from completed formal evaluation studies. The sources of these data are varied and represent the efforts of many units within the U.S. Office of Education (OE) as well as some organizations outside of OE. These include evaluation studies by OPBE and various contractors, data compiled by NCES, data from program managers, data from HEW Audit Agency, GAO reports, NIE reports, data from State and local agencies, etc.

B. Amounts Obligated for Evaluation Contracts in OE Since Fiscal Year 1970

Systematic, comprehensive evaluation of Federal education programs dates back to the summer of calendar year 1970. The FY 1970 appropriation of $9.5 million was the first significant funding made available for the evaluation of OE-administered programs. The following table shows the amounts obligated for evaluation contracting in OE since Fiscal Year 1970.

AMOUNTS OBLIGATED FOR EVALUATION CONTRACTS IN OPBE

(In millions of dollars by fiscal year)

Authority	1970	1971	1972	1973	1974	1975	1976	1977	1978	(Est.) 1979
Planning and Evaluation	9.7	12.4	12.5	10.9	5.5	6.9	6.4	7.1	7.1	5.2
Follow Through	4.0	6.2	2.8	3.9	3.1	2.4	2.3	.2	2.0	**
Emergency School Assist.	-	1.3	.9	3.4	2.5	2.3	1.7	2.1	2.0	2.9
Bilingual Research	-	-	-	-	-	-	-	-	.1	**
Labor Dept.	-	.2	-	.2	-	-	-	-	-	-
S&E	-	-	-	.6	-	.5	-	-	.9	-
Sec. 232	-	-	-	-	.5	.5	-	-	-	-
Title I (Sec. 151 & 417)	-	-	-	-	-	4.0	4.5	5.0	12.3*	12.3 ***
Career Ed	-	-	-	-	-	.3	-	.2	.2	.2
PIPs	-	-	-	-	-	1.2	.9	1.6	2.1	2.0
BEOG's	-	-	-	-	-	.2	.3	-	.3	-
Right to Read	-	-	-	-	-	-	.2	.3	.3	3
Community Ed	-	-	-	-	-	-	-	.1	-	-
Voc. Ed	-	-	-	-	-	-	-	1.4	-	-
Teacher Corps	-	-	-	-	-	-	-	-	2.4	-
	13.7	20.1	16.2	18.9	11.6	18.2	16.2	18.0	29.7*	22.9 *** **

Individual items may not add to totals because of rounding.

* less .55 million transferred to the National Institute of Education for completion of the Study of Compensatory Education mandated by P.L. 93-380.

** Plus Follow-Through and Bilingual Research, to be determined.

*** less whatever amounts will be required for the school finance studies authorized under the Education Amendments of 1978.

These sums, though substantial, represent less than one-fourth of one percent of the estimated total appropriation for OE in Fiscal Year 1978.

C. Evaluation Strategy of the Office of Planning, Budgeting and Evaluation

The U.S. Office of education is responsible for administering or monitoring approximately 100 programs which provide funds, materials, teachers and other staff, training activities, and technical assistance in support of all levels of public and private education across the country. In carrying out its responsibilities, OE spent more than $10 billion during Fiscal Year 1978, employed approximately 3,300 persons at headquarters in Washington, D.C. and at its 10 regional offices. More important, OE programs and resources have affected the activities of more than 2 million teachers and administrators at all levels of education, and the learning experiences of a high percentage of the more than 70 million persons, young and no longer young, who were the clients of America's educational institutions.

Most of OE's programs, in terms of numbers of programs and projects, numbers of student and teacher participants, and numbers of dollars spent, are directed at persons who may be generally defined as "disadvantaged." The term applies to children and adults who typically do not or cannot succeed in the traditional educational system and programs. The causes of these difficulties are many and are often reinforcing. Physical or mental handicaps which are clinically definable require special programs and services, often supported with Federal funds, to enable the handicapped person to acquire appropriate knowledge and skills toward as satisfying and self-supporting a life as possible. A background of poverty, of isolation as a member of a minority ethnic or linguistic group, and of early failure at school frequently results in patterns of accelerating failure, withdrawal from school, unemployment or a series of low-paying, low-prestige jobs, and difficulties in continuing one's education or in gaining access to the formal educational system in later years. Here again, the Federal response has been to create special programs and services designed to assist the economically or educationally disadvantaged person to stay in school, to receive greater benefits from the educational system as indicated by improved achievement, motivation, and attitudes, to overcome the financial barriers to postsecondary education, or to re-enter the system whenever appropriate. Here again, the intention is to help people acquire knowledge and skills to the maximum of their learning potential and interest, toward as satisfying and useful a life as possible.

Given the wide financial and human impact of OE's programs, these important questions emerge as the basis for OE's evaluation strategy:

1. What effect do specific federal programs in education have upon their participants?

2. What improvements should be made in the management and administration of those programs?

3. What improvements may be made in the instructional techniques and materials and in staff-training activities?

4. What particularly effective projects, products, procedures and practices have been developed in the field with the support of Federal funds and which should be disseminated?

5. What improvements may be made in the delivery of financial aid and other services to students to increase their entrance and retention rates in postsecondary education?

6. What improvements should be made in evaluation itself so that all participants in the educational system may better understand the workings and the effects of their programs and projects, and may take action to improve those activities?

With these questions to answer and within the limits of staff and funds available to answer them, the evaluation strategy in years past has emphasized impact studies which are designed to measure the effect of programs and projects upon participants. Such studies will continue to be the major component of the OE evaluation strategy, because of the information they provide to the Congress and to the Executive Branch on program effectiveness, on program management, on project instructional activities, and on particularly effective activities that could be disseminated to others. Some of these studies are mandated by the Congress in program legislation.

A second and growing component of the strategy consists of process studies aimed at providing information and recommendations to program managers on the characteristics and problems of OE programs as they operate through projects in the field. Most of these studies are requested by OE managers themselves during the lengthy process of planning and negotiations leading to the Annual Evaluation Plan. Some are mandated by the Congress in program legislation.

A third component of the strategy is the provision of technical assistance to States and to local districts in evaluation itself. Most of this activity responds to the mandate for the ESEA Title I program in P.L. 93-380, Section 151. It includes Technical Assistance Centers in evaluation, workshops, and a monograph series on recommended evaluation practices. Other activities of this component are conducted under the "Packaging and Dissemination" Program.

A fourth component of the strategy is the identification of effective projects and practices developed under OE programs. This component may include the development of "models" or detailed descriptions of the essential characteristics of such projects or practices, designed to help education in the field to develop similar projects or practices. Model development is particularly active for the ESEA Title I program in response to the mandate of

P.L. 93-380, Section 151. The development of detailed, comprehensive Project Information Packages under the "Packaging and Dissemination" Program is another important activity of this component.

In summary, OPBE's evaluation strategy includes implementation of Congressional mandates, conduct of program impact studies, meeting information needs of OE program managers, provision of technical assistance in evaluation to the field, studies to identify effective program services, and practices or projects for improvement of program operations and for dissemination to the field.

D. HIGHLIGHTS OF STUDIES COMPLETED BY OPBE DURING FISCAL YEAR 1978

Student Economic Background, Achievement Status, and Selection for Compensatory Services

"How many economically and educationally disadvantaged children do and do not receive services from Title I of the Elementary and Secondary Education Act?" Results from a study designed to answer this question asked by Congress showed that of the 20 million public elementary students in grades 1-6, 15 percent were selected to receive services from Title I while another 10 percent were selected to receive services supported by other Federal, State and local sources of funds. The numbers of children in each income and achievement category and the percentage receiving Title I were:

Income/Achievement Status	Total Number of Students (in millions)	Percent (by Row) Selected for Compensatory Services From: Title I	Other Sources
Low Income/Low Achievement	2.4	39	13
Non-Low Income/Low Achievement	4.2	24	15
Low Income/Non-Low Achievement	1.8	16	7
Non-Low Income/Non-Low Achievement	11.6	6	8

Other results indicated that: the relationship between low income and low achievement was strong enough to show that where there were high concentrations of low income children there too one could expect to find high concentrations of low achieving children; and, almost all of the students selected for Title I services were either low achievers or were low average in their achievement and came from poverty or near poverty backgrounds.

Emergency School Aid Nonprofit Organizations Program

The ESAA Nonprofit Organizations (NPO) program provides funds to local community organizations to support the implementation of school desegregation plans. In an evaluation report to the Office of Education, the Rand Corporation finds that activities such as developing community support for a desegregation plan or improving school-community relations can often be accomplished more effectively by a community organization than by a school district. However, the study also finds that NPO projects are not operating as effectively as other community organizations not funded by ESAA.

A number of factors now militate against the more effective community organizations receiving ESAA funding:

- The extremely close connection between "host" school districts and NPOs has led NPOs to undertake education service activities ordinarily performed by the districts, and to undertake less often community relations and desegregation monitoring activities.
- Because NPO activities are generally not targeted to the particular phase of desegregation their districts are in, many NPO activities are inappropriate to the current desegregation situation in their districts. For example, NPOs often undertake remedial and tutorial activities when the district is in the initial stages of desegregation.
- The NPO proposal review system presently used by USOE does not succeed in identifying effective NPOs.

Fortunately, these barriers are subject to Federal intervention and do not represent fundamental weaknesses of community organizations themselves.

Emergency School Aid Act Programs in Region II

ESAA also provides funds to school districts to deal with problems associated with the implementation of desegregation plans. A study of the ESAA Basic and Pilot programs in New York and New Jersey found that ESAA tended to assist districts which desegregated years ago if at all.

- In Fiscal Year 1977, over half of the ESAA Basic and 40 percent of the Pilot grants were awarded to school districts which desegregated prior to 1968.
- In FY 1977, half of the Basic grants in Region II were to districts which had received awards in at least 3 or the previous 4 years.
- There was very little desegregation actually achieved by the school districts in Region II which received ESAA Basic and Pilot awards.

The study found that the Office of Education has had limited success in Region II in recent efforts to direct ESAA projects away from compensatory education and toward specific desegregation needs because:

- There are broad alternative definitions of eligible desegregation plans present in the Act and regulations.
- Proposal writers are able to present programs for general aid to education in the cloak of desegregation related needs. Writers of ESAA proposals in each of seven case study districts presented achievement test results as if they were evidence of needs resulting from desegregation. In fact, minority students tend to score lower than whites on such tests in most school districts with and without desegregation plans. In five of seven case study districts, only the proposal writers could relate the local ESAA project to desegregation objectives.
- Program regulations do not effectively relate the magnitude of need to the size of the grant award. One Region II district with a 13-year old desegregation plan and 8,000 students received $821,000. Another district with 25,000 students and severe tension and violence related to a desegregation plan received $1,100,000.

Evaluation of the Impact of ESEA Title VII Spanish/English Bilingual Education Program

The goals of this study were generally to (a) determine the cognitive and effective impact of bilingual education on students in Spanish/English bilingual education projects funded through ESEA Title VII, and (b) to describe the educational processes operating in these projects. Bilingual education projects selected for evaluation were all Title VII Spanish/English bilingal education projects in either their fourth or fifth year of funding as of fall 1975. Projects such as these were thought to be reasonably mature projects -- ones having refined their approach to bilingual education over time. Major findings from the study were that (a) approximately one-third of the students enrolled in the Title VII classrooms in grades 2 through 6 were of limited English-speaking ability, (b) 50 percent of the Title VII teachers and 66 percent of their aides said they were currently proficient in both Spanish and English, (c) in English language arts, participation in a Title VII Spanish/English bilingual education project did not appear to produce gains in student achievement over and above what would be expected had the students been assigned to a traditional classroom, (d) in mathematics, students participating in a Title VII project had gains in achievement approximately equal to those of students in traditional classrooms, and (e) participation in a Title VII project did not affect attitudes toward school-related activities.

Evaluation of the Follow Through Program

The goal of the Follow Through (FT) evaluation was to identify effective approaches for the education of low-income children in kindergarten through third grade. Preliminary results of a large-scale, multiyear evaluation can now be reported. Results of the evaluation are generally inconclusive: across all models and measures, FT site groups significantly out-scored matched comparison groups on some of the contrasts; comparison groups out-scored FT on other contrasts; and on two thirds of contrasts no clear advantage could be identified.

Comparison groups were drawn from similar educational circumstances and generally received supplemental services through such programs as Title I. One approach, the Direct Instruction Model, sponsored by the University of Oregon, was more successful on most measures than the other approaches; however, even that model was not uniformly successful in all sites. Several other models showed success in at least half the sites using their particular model. In many cases and for most models the results were inconclusive either because the evidence was not strong enough to permit judgment to be made or because the evidence was mixed (i.e., the results were positive in some sites, negative in some and neutral elsewhere). The evaluation pointed up a need to do studies of implementation issues related to "exemplary" approaches in order to further determine what makes an approach work in one location but not in others.

An Alternative Approach to the Distribution of Campus-Based Aid

(OE/OPBE Technical Report)

This report provides a framework for a new system of allocating Campus-Based student financial aid (SEOG, NDSL, and CWS) to institutions of postsecondary education. This new system differs from the past process by providing an objective measure of institutional need for funding based on easily obtainable and verifiable data and by being based on the premise that students of equal need should be treated equally.

Evaluation of the Veterans' Cost-of-Instruction Program (VCIP)

Twelve distinct types of institutional contexts and VCIP projects are identified as operational entities. While VCIP projects appear to adapt to the institutional context, differences are only partially explained by the academic offering, control, and size of the institution. The number of veterans and the academic climate of the institutions also appear to exert influence. The background, commitment, and skills of the project staff also contribute to differences in project operations.

The Willingness of Parents to Contribute to Postsecondary Education Expenses

Major findings of the study were:

1. The contributions expected from increments of family income increase more rapidly than parents say they are willing, or able, to make these additional contributions. The divergence between willingness and expected contribution grows more rapidly as family income rises, using the BEOG methodology compared with non-Federal systems (consensus methodology).

2. The amount of contributions expected from family assets appears to be greater than what families believe the value of these assets enables them to provide.

3. Parents appear to have a particularly strong reluctance to use accumulated home equity for financing their children's education.

Cooperative Education - A National Assessment

Estimated life-time financial returns to graduates were greater for those who participated in cooperative education even when it required an additional year of schooling. Participants were more often employed in a course related job than graduates who did not participate in cooperative education. For approximately one-third of the participants, income from these jobs was of paramount importance as a source of financing their education. Lastly, Federal program funds were considered a major factor in the enlargement of the program, from approximately 300 to over a 1,000 participant institutions in a 6-year period.

A Report on Specific Federally Funded Graduate Education Programs

A report of graduate programs funded under Title IX of HEA is required by Part E, Title IX of the Higher Education Act each year.

The first annual report was initiated in the summer of 1977. At that time only three parts of the Act had been funded; Public Service Programs, Domestic Mining and Mineral and Mineral Fuel Conservation Fellowships and Assistance for Training in the Legal Professions.

Two main components of the report were (1) a review and analysis of program files and (2) a discussion of current critical issues in graduate education as identified by a number of members of the graduate education community (for the most part graduate deans who wrote papers for the Office of Education from the perspective of their campuses).

Program information was available for awards made for 1975-76 academic year. Generally this information was more descriptive than evaluative. Nevertheless some data (on employment of graduates for instance) in the annual reports together with comments in the Deans' papers indicate the Federal programs appear to be achieving their objectives of increasing the supply of well-qualified public servants, particularly at the State and local levels, of supporting able but needy students in their pursuit of an advanced degree in domestic mining, and of increasing the supply of lawyers from disadvantaged backgrounds.

Members of the graduate education community identified a number of concerns they had with regard to the future of graduate education. These included: access for minorities and women, financing of graduate students, funding for basic research and employment of graduates.

The Impact of Student Financial Aid Programs on Student Choice

This study was concerned primarily with identification of factors influencing students' choice of institutions, and the possible effect of State and Federal financial aid programs. It was found that differences in student ability and aspirations, institutional admissions policies, and the type of higher education system in the students' home state were all significant contributing factors.

With regard to the impact of student aid, both Federal and State programs were found to affect student choice, the degree depended on the types of programs (grants versus loans), level of spending, and the procedures used to distribute the aid (merit versus need based). The specific patterns, however, vary among States.

A Study of the State Student Incentive Grant Program and State Scholarship Programs

This study summarizes information on State student financial assistance programs. For each State, individual profiles have been prepared which display information about the nature and administration of State student assistance programs, including data on program management, fiscal controls, staffing, information dissemination, organizational strategies, and program funding. The study showed that programs and procedures differ among States, both in terms of the type of programs and the level of spending. While the study's greatest value is as a general reference source, it does identify gaps in State programs and, because of this, will be especially valuable for Federal program planners.

Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education

Most people believe that trends in school enrollment are influenced in part by economic forces and the increase in expected earnings due to further schooling, in part by demographic factors, and in part by changes in the cost of schooling. Underlying these questions are additional issues related to schooling as it pertains to race, sex, and region of the country. This study concentrated on one aspect of the schooling decisions, that is, the choice of college. Extended use of previous efforts while limited and fragmented was made in developing the analytical framework for the study.

Evaluation of the Upward Bound Program: A First Follow-Up

The major objectives of this study were to evaluate the impact of the UB program upon entry to and persistence in postsecondary education.

The major findings of the study were:

1. Rate of entry to postsecondary education was found to be positively related to length of participation in Upward Bound. While 1 year of UB participation failed to be associated with any meaningful increase in rates of postsecondary entry, 2 or 3 years was associated with increases of about 20 percent.

2. Among the high school graduates in the class of 1973 who did not immediately enter postsecondary education, 62 percent of the UB participants and 36 percent of the nonparticipants entered postsecondary education within 3 years.

3. Upward Bound participation was found to be associated with the entry into postsecondary education of more ethnic minorities, more poverty-level students, and more students classified as academic risks in high school.

4. Upward Bound participants who entered postsecondary education remained in school at about the same rate as nonparticipants.

A Study of State Oversight in Postsecondary Education

Authorization by State agencies is a prerequisite for institutions seeking to participate in Federal programs, since the States have the major constitutional responsibility for the governance of postsecondary institutions within their boundaries. With the States, therefore, which have the major burden of consumer protection in postsecondary education, an assessment was done of the degree to which postsecondary State oversight agencies provide student consumer protection by preventing or correcting abusive and potentially abusive institutional policies, practices, and conditions. Additionally, the study included (1) an in-depth profile of strengths and weaknesses of the State laws and enforcement resources and (2) specific suggestions for strategies which could be used by the USOE to help State agencies develop stronger laws and augment their enforcement resources.

The study found that all States, with three exceptions, exercise some sort of licensing authority over private non-degree-granting institutions, and 38 States exercise specific licensing authority over private degree-granting institutions. Of the 48 States with provisions for advertising in the private non-degree-granting sector, 40 explicitly prohibit false, inaccurate, deceptive, or misleading statements or practices. Further, State authorizing/oversight requirements are relatively much more extensive for private non-degree-granting institutions, less extensive for private degree-granting institutions, and almost nonexistent for public institutions. Briefly, the report concludes that the consumer protection function could be improved for State agencies and USOE if the following conditions are met:

1. Staff sizes are increased, especially in legal personnel, to facilitate enforcement actions.

2. Legislators pass stronger laws and regulations which would eliminate certain provisions that now exclude accredited institutions from state agency oversight.

3. Better communications and coordination are established among licensing agencies in all states, especially in the degree-granting sector, to deal with problems created by institutions that operate across state lines.

4. Study findings and their implications are communicated to all state approval agencies.

5. An official policy statement encouraging all states to enact and enforce state authorizing and oversight standards.

6. The services of a national organization to plan and carry out a continuing program of staff development activities for state licensing agency personnel should be seriously considered.

An Assessment of Programs and Projects Funded Under P.L. 92-318, Indian Education Act -- Part A.

This 2-year study was designed chiefly to describe and determine the effectiveness of the implementation of the current projects funded under Part A of the Indian Education Act. The study included baseline data from the years 1974-1975, 1975-1976, and 1976-1977. The evaluation design made provisions for visiting and gathering data from approximately 223 funded sites in 26 States located in 10 geocultural regions. The study found that 62 percent of the funded Part A projects contained objectives directed toward the instruction of cultural heritage and native language; 58 percent with objectives emphasizing remedial reading; 56 percent with objectives emphasizing selfconcept objectives; and 46 percent emphasizing remedial mathematics objectives. The initiation of innovative projects did not always assure effective implementation. However, the study shows that effective implementation appears to be a function of the project's grant size, objectives, parent involvement, and Indian population density.

Evaluation of the Community Education Program

The Community Schools Act provided for appointing a national Community Education Advisory Council which, among other prescribed duties, is to establish an evaluation system and report to Congress annually. In partial fulfillment of the mandate, this assessment of federally funded projects was authorized. Three relatively separate areas of impact were investigated: impacts on the educational systems, on other facets of the community, and on individuals.

Overall, the data suggest that almost all project objectives were attained. State level community education services were increased, substantial numbers of people received technical assistance, and these federally supported projects did have desired impacts. In sum, it was found that the legislative mandate and primary Federal policy directives of expanding the use of school facilities, increasing community involvement in school and other public decision-making, and improving coordination of services were achieved. It was also found that there were positive impacts from the projects on the local education systems, other aspects of the project communities, and individual community residents.

Identification of Evaluated, Exemplary Activities in Career Education (K-12)

The purpose of this project was first, to gather information on the effectiveness of career education by identifying current career education programs and practices which had already been objectively evaluated, and, secondly, to strengthen evaluation procedures in career education at the local level.

Project staff sought nominations of evaluated, exemplary career education activities from a wide range of Federal, State, and local officials. Of the 394 activities nominated, 257 submitted evaluation reports. These were screened through three levels of criteria and 10 were selected for site visits. These visits served (1) to validate evaluation data and provide any additional information needed, (2) to furnish more details about management and operation, and (3) to find out about unanticipated outcomes by talking with staff and observing the career education activity in process.

Detailed information on the evaluations of all 10 activities visited were prepared for and submitted to the HEW Education Division's Joint Dissemination Review Panel. The Panel approved 7 of these 10 activities as exemplary projects suitable for dissemination through the Office of Education National Diffusion Network. The Project staff also prepared 30-page descriptions on each activity. These descriptions are designed to help school administrators, classroom teachers and community leaders decide whether or not a particular activity would be suitable for replication or adaptation in their own schools. Each description includes a section which explains how the activity was evaluated. In three cases, this section also explains why the Panel did not approve the activity and what they suggested to strengthen the evaluation.

Based on their analyses of the many evaluation reports reviewed, the Project Staff also prepared an evaluation handbook. It includes six step-by-step models for evaluating different career education activities. Easily followed procedures are set forth for evaluating: (1) implementation of career education into the curriculum (infusion), (2) inservice training for staff development, (3) newly developed career education materials, (4) supplementary activities such as a series of planned visits to local employers, (5) special facilities -- e.g., a career information center, and (6) indirect interventions which usually take place outside the school; for example, an effort to get the school board to review policies which affect career education. The Project staff has also prepared a brief technical report on this project.

E. USES OF EVALUATION ACTIVITIES

E. Uses of Evaluation Activities

While the design and conduct of good evaluations are difficult, costly, and time consuming, the application of evaluation findings is even harder to accomplish. Evaluation findings must be intricately timed with policy, budget, and legislative processes in order to influence them. There is inevitable resistance to accepting critical judgments about programs, and great difficulty in overcoming the inertia of established practice in attempting to make change. Nevertheless, there are indications that some evaluations have had, and are having, an influence upon decisions about programs, budgets, and legislated authorities.

It is worth noting that, during testimony before congressional appropriations subcommittees on the Administration's Fiscal Year 1979 budget request, members of the subcommittees asked 99 separate questions on the results and effectiveness of USOE programs. There are also widespread indications that OE's activity in technical assistance for evaluation at the State and local levels, particularly as regards the ESEA Title I program under the legislative mandate begun in the Education Amendments of 1974, is being well received and having a growing impact on the conduct of evaluation.

In response to increased interest in the utilization of evaluation, the Department and its agencies are planning to develop monitoring systems during Fiscal Year 1979. The Department's intention is to monitor the extent to which USOE evaluations are used to:

- meet specific information needs of individuals or Congressional committees who requested the study
- affect the design and performance of the program evaluated
- affect the attitudes, opinions, or positions of those involved in debates on specific policy issues
- meet other information needs.

The following paragraphs summarize the impact of a number of evaluation activities upon program operations, policy, legislation, and budgets.

- A Study of Compensatory Reading Programs showed that compensatory services in reading supported by ESEA Title I were reaching the most needy students and were supplemental to the regular school reading program. Students who received such services benefited from them either by not falling further behind or by catching up slightly with their more advantaged peers. These results were used in the reauthorization Hearings for Title I (see pp. 145-147 of Hearings, Part 16) and were referred to explicitly in the Conference Report (see pp. 6-8, H.R. 15).

These results were also used by the Congressional Budget Office to recommend an increase in the funding level for Title I (see paragraph below). The results of this study have also been used in preparing budget justifications and in appropriations hearings during the past 3 years.

In January 1977, the Congressional Budget Office prepared a budget issue paper entitled "Elementary, Secondary and Vocational Education: An Examination of Alternative Federal Roles." The issue paper referred to findings of A Study of Compensatory Reading Programs: A Technical Summary in its discussion of the educational effects of ESEA Title I and in making recommendations on funding levels. It also made extensive use of material from the Annual Evaluation Report on Programs Administered by the U.S. Office of Education, Fiscal Year 1975 in the analysis of the Emergency School Aid Act and of other OE programs.

- The first two reports from A Study of the Sustaining Effects of Compensatory Education on Basic Skills were used explicitly in the reauthorization Hearings for ESEA, Title I. The first report showed that Title I funds were targeted on schools with high concentrations of poverty children to a remarkable extent but that some schools with low concentrations of such children were also receiving funds. These results were used in the Hearings (see pp. 143-147 of Hearings, Part 16) and were cited explicitly in the conference report (see p. 6 of H.R. 15).

The second report dealt with the extent to which services were focused on the most needy students as gauged by their achievement status and economic background. The results of this study played a central role in the debate as to whether or not the basis for allocating funds should be changed from economic to achievement criteria (see pp. 184-191 of the Hearings, Part 16, and pp. 188-225 of Part 19).

- The evaluation models developed in the Office of Planning, Budgeting, and Evaluation for ESEA Title I programs and projects, and the assistance provided to States and school districts in the evaluation of their ESEA Title I activities, have been widely used. During the 1977-78 school year, approximately 40 percent of the Nation's Title I districts implemented one of the models to evaluate their instructional services supported by Title I. All States have specific plans for using the models in the near future. Similarly, use of the help available through the Technical Assistance Centers continues to increase. The Centers have been staffed with nearly 100 professionals to meet this increase in requests.

Testifying in May 1977 before the House subcommittee on Elementary, Secondary and Vocational Education, Chief State School Officer Barbara Thompson of Wisconsin noted that "legislatively supported Title I Assistance Centers, technical assistance for state and local education agencies,..have been successful in enhancing state agency capabilities to comply with educational data demands, but represent only a minor investment in addressing a major problem. I would definitely recommend increased appropriations and support for this type of activity." Ms. Thompson is Chairperson of the Committee on Coordinating Educational Information, Council of Chief State School Officers.

o The Congressional Record of July 13, 1978, carries the following remarks during the House debate on H.R. 15, the Education Amendments of 1978:

"...the 1974 legislation called for several changes in evaluation. We required a comprehensive study of the operation of Title I, the development of improved evaluation designs, and the provision of large amounts of high quality technical assistance to State and local program staffs.

"These efforts were amply rewarded. State and local program staff and parents have invested enormous amounts of time and energy toward improving the evaluation of local projects. The committee entered this reauthorization period with a wealth of sound program information. There is now solid evidence that at the local level, improvements in evaluation were accompanied by genuine improvements in the Title I programs, and greater success for Title I children. We can be proud of this."

- Results from the first phase of the national evaluation of the ESEA Title I program in State institutions for the neglected or delinquent were shared with members of Congress, State offices, and other interested organizations in an Executive Summary distributed in the early summer of 1977. Information in that Summary was used in Congressional deliberations about this program of ESEA Title I, and committee reports from both the House and Senate cite the data. National estimates of the numbers of students eligible for services under this program and of the smaller number actually being served received special attention.

- An evaluation completed in 1978 of the impact of the ESEA Title VII Spanish/English bilingual education program had a marked influence on both the House and Senate Reports regarding the reauthorization of the Elementary and Secondary Education Act. Two major findings from the evaluation were that (a) approximately one-third of the participating students on the average in grades 2 though 6 were of limited English-speaking ability, and (b) program participation did not produce significant achievement gains in English Language Arts or Mathematics. In response to these two findings, the reauthorization language of P.L. 95-561 requires that at least 60% of children participating in each Title VII project be of limited proficiency in English. There is also a new definition of bilingual education programs which emphasizes the goal of acquiring competence in English.

The House Committee on Appropriations, in its report of June 1, 1978 on the Fiscal Year 1979 Appropriation Bill, encouraged the USOE Commissioner "... to vigorously pursue efforts already underway to overcome the deficiencies in bilingual education projects revealed in the recent evaluation study of the Fedral program." Many school officials have requested the study reports, whose findings have been discussed on two national television programs: "60 Minutes" and the "McNeil/Lehrer Report."
The evaluation methodology used in the impact study has been presented as a teaching example by a private national publication aimed at improving school-district evaluations.

Previously, the interim report from the same study had influenced proposals for reauthorization of the Elementary and Secondary Education Act. The Education Daily of June 6, 1977 carried one comment that proposed changes for the bilingual education program had been "prompted" by recent evaluation reports sponsored by the Office of Education. Several proposed changes directly addressed the Impact Study's findings on English-language proficiency levels and English-language achievement gains of project students.

As a further result of the interim report from the Impact Study, the Senate Committee on Appropriations expressed its concern regarding selection and retention of students in Title VII projects. In its Report accompanying H.R. 7555, the

FY 1978 Appropriations Bill, the Committee referred to the evaluation in expressing its concern and then directed DHEW to make "... whatever administrative changes are necessary to ensure that bilingual education projects are primarily focused on achieving English language competence and returning students to English language classes."

- A recent report dealing with the planned variation aspect of the Follow Through program (Education as Experimentation: A Planned Variation Model, Abt Associates, 1977) was quoted in House reports of the program. The same report was used to provide data to the OE-NIE Joint Dissemination Review Panel (JDRP) so that demonstration sites could be funded. The JDRP finally validated a total of 19 Follow Through projects which could then serve as demonstration sites. The report itself caused considerable controversy and several academic articles have been published in response to it.

- A study of training and advisory services provided under Title IV of the Civil Rights Act of 1964 led to substantial revisions in regulations governing this desegregation-assistance program. The evaluation found that Title IV needed more Federal direction to focus on needs directly related to desegregation.

Some of the major changes to increase the desegregation identity of Title IV are:

- o Race desegregation assistance centers (formerly called "general assistance centers") must give priority to helping school districts develop desegregation plans. Both centers and State education agencies receiving Title IV aid must give priority to assisting districts which are in the first three years of implementing desegregation plans.
- o Race-desegregation training institutes are permitted to provide training only to school districts which adopted desegregation plans within the two years preceding the beginning of the training.
- o Activities related to the provision of compensatory education or the development of basic skills are prohibited as desegregation assistance under Title IV.

The Administration proposals and the subsequent 1978 amendments to the $300 million Emergency School Aid Act (ESAA) school desegregation program were developed with careful consideration of evaluation findings. The amendments reduce the compensatory education nature of ESAA and increase an emphasis on human relations activities. Both of these actions are consistent with evaluation results as discussed below and elsewhere in this volume. Studies agree that the State-apportionment provisions of the legislation do not allocate funds based on actual need for desegregation-related assistance. The amendments retain State apportionment provisions but de-emphasize them by eliminating one of three State apportionment programs (Pilot Projects), and eliminating State apportionment from the nonProfit Organization Projects. The amendments are also consistent with support of evaluation studies for giving higher funding priority to more recent desegregation.

- Southern Schools: An Evaluation of the Effects of the Emergency School Assistance Program and of School Desegregation indicated that human-relations programs were effective in improving the attitudes toward integration of urban white students. In addition, black student achievement test scores were higher in schools where white students had more positive attitudes toward integration. As a result of the study, steps were taken to increase the funding of human relations activities under the Emergency School Aid Act. The Regional Offices were informed of the results and were asked (through formal memoranda and through ESAA training sessions) to encourage applicants to include human-relations components in their ESAA grant proposals. In addition, the Commissioner of Education approved a

Policy Implications Memorandum (PIM) recommendation "to use administrative action to increase the relative emphasis on human relations activities to some proportion (such as 30%) of funds."

- Another school-desegregation study report, A Handbook for Integrated Schooling, is a non-technical practical guide intended primarily for principals and teachers. It provides concrete illustrations of specific practices and policies as well as suggesting ways of building a school environment that is supportive of school desegregation. Over 70,000 copies of the Handbook have been distributed and it is now being reprinted.

- The Rand Corporation's Phase I report on its study of ESEA Title IV, ESEA Title IV: Implementation Issues and Research Questions, identified administrative problems in the program, providing important support to proposals to change the existing authorities for Parts B and C to allow a more logical grouping of activities. The report also identified problems that nonpublic schools face in achieving equitable participation for their students, supporting current proposals to substantially strengthen provisions for nonpublic school participation. The report also criticized the procedure of annual competitions for continued funding for local sites under Title IV-C, supporting proposals to eliminate this requirement.

- Several OPBE studies that attempted to identify effective projects in compensatory education led to the planning and implementation of the Packaging and Dissemination Program under the authority of the Special Projects Act in P.L. 93-380. The program promotes the implementation of effective educational projects whose development was supported by USOE. To date, 12 projects in compensatory education and 4 projects in bilingual education have been "packaged" after approval for dissemination by the Joint Dissemination Review Panel. Six of the compensatory education packages have completed field testing and are being disseminated to the field.

  The packages based on effective projects were called Project Information Packages (PIPs) and were developed to provide adopting school districts with guides, manuals, and other materials with enough detail to enable adotping schools to carry out all aspects of planning, starting, and operating the projects.

The packaging and Dissemination Program also supports the National Diffusion Network (NDN) and its efforts to disseminate information (including but not limited to PIPs) about effective projects, products and practices in many fields of education. The Network appears to be well received by States, school districts, and the Congress, and has already encouraged numerous attempts at replication of effective projects.

Evaluations of the National Diffusion Network have influenced strategies to place more emphasis on the quality of implementation, fidelity of adoptions, and the impact of the programs on learners in the adoption sites. These studies also influenced the move to make the Network serve all of USOE rather than just the Bureau of Elementary and Secondary Education, and to place more emphasis on adequately serving large urban areas.

- A report from a major study of Federal programs supporting educational change identified a number of factors contributing to the successful implementation of educational innovations. The results of the study are being used in various USOE efforts, such as the program to disseminate Project Information Packages and the development of strategies for disseminating successful Follow Through models.

  Findings were also cited in congressional action in targeting of new funds for innovation under ESEA Title IV-C for innovative compensatory education funds, and were utilized in legislative proposals to encourage more local participation in ESEA Title I and Title IV programs. The study has been cited extensively in the research literature on dissemination strategies. The results of the study have also been instrumental in NIE's planning for dissemination of research findings.

- The findings and recommendations from A Longitudinal Study of Educational Practices, which investigated the effectiveness of highly intensive, innovative educational practices upon student achievement, were used as part of the Hearings associated with the reauthorization of Title IV, ESEA in the summer of 1977 (see pp. 217-230 and 382-387 of Part 8 of the Hearings).

- A number of studies contributed to the development of two budget projection models for student aid programs in postsecondary education. These include (1) the BEOG Enrollment/Student Aid Model and (2) the GSLP Loan Flow Model (which projects interest subsidy and defaults over the past 5 years.) These models were developed to study the impact of alternative student aid programs by simulating program costs, by estimating impact on participants, and for a variety of other planning and analytical purposes. More specifically:

The BEOG Enrollment/Student Aid Model was used by both the Administration and Congress to project the estimated costs and benefits of the Basic Grant Program during the hearings of the Higher Education Amendments of 1972 and 1976 and for subsequent budget submissions and planning activities.

The GSLP Loan Flow Model, which was preceded by a historical analysis of program operations, has been used to:

(a) Identify the potential magnitude of the default problems under specified assumptions of changes in program operations, management, and staffing.

(b) Estimate the level of interest and default subsidy necessary for budget purposes.

(c) Identify the characteristics of the default experience by institutions, lenders, and borrowers.

- o Higher Education Panel Report #36 - Estimated Number of Student Aid Recipients, 1976-77, from a survey designed and sponsored by OPBE and conducted by the American Council on Education, gave a first look at recipients of Federal student financial aid for 1976-77. This report describes recipients of program (BEOG, SEOG, NDSL, CWS, and GSL) funding by sex, race, income, and enrollment status.

  The data are being used widely within the higher education community as a basis for describing the status of student financial aid and as a basis for estimating the need for future program fundings.

- o A study of the Guaranteed Student Loan Program recommended that the GSLP Special Allowance paid to banks vary directly for each fiscal quarter with the latest 90-day average of either 91- or 180-day Treasury bills. That study, and the Survey of Lenders in the Guaranteed Student Loan Program, both showed conclusively that lenders were receiving low net yields (or losses) from their participation in GSLP. These findings appear to be directly related to the increase in the maximum Special Allowance from 3.0 to 5.0 percent and the tying of the Special Allowance to the quarterly average yield on 91-day Treasury Bills as mandated in the 1976 Higher Education Amendments.

The Survey of Lenders indicated, as one of its findings, the difficulties which commercial lenders experienced in obtaining current information (including addresses) from educational institutions on the status of borrowers. This finding can be related to a new provision in the 1976 Higher Education Amendments which authorizes a $10 fee per borrower to be paid to the educational institution as an "administration allowance" for provision of timely information to lenders.

Both studies indicated that a primary dissatisfaction of lenders was with the delays in payment of claims by USOE, and with the concomitant lack of a provision for payment of interest to the lender during the period after the claim is submitted but before it is paid. The 1976 Higher Education Amendments remedy this situation by providing payment of interest during the period of delay in payment of interest billings. The 1976 Amendments provide for OE payments to a lender of daily penalty interest for any period of delayed payment exceeding 31 days after receipt of an interest billing.

o A Study of Accreditation and Institutional Eligibility has been made available to the Federal Trade Commission and to several congressional committees. This study has promoted an understanding of the process for establishing institutional eligibility for Federal programs and the limitations of using that process. New FTC regulations relating to proprietary institutions were developed in part on the basis of findings from this study. New legislation has been passed which is quite consistent with the spirit of the recommendations in the report regarding eligibility of institutions for participation in all student-aid programs.

o After the first year of a planned three-year study of Special Emphasis projects in the Right-To-Read (Basic Skills Improvement) Program, a national meeting of project site directors was held in February 1978 to discuss preliminary study findings. The site directors agreed to implement study recommendations regarding summer school programs and the on-site involvement of the project directors themselves.

o Findings of Career Education in the Public Schools 1974-75: A National Survey were cited by OE's Executive Deputy Commissioner for Educational Programs in support of the Administration's position on proposed legislation in career education. The testimony was given on June 14, 1977, during hearings on S. 1328 and on H.R. 7, similar bills which would begin a large state-formula career-education program.

o Preliminary analysis of eight State Loan Guaranty Agency operations as part of the Study of Requirements for Forming State Guaranty Agencies, a continuing study, has already provided a number of recommendations for changes in State level accounting procedures and reporting techniques. Agency directors have indicated that these preliminary findings have been used in their plans to upgrade agency operations. (Further study of all agencies is continuing.)

o As a result of some early findings in an "Exemplary Projects" evaluation in career education, work was initiated on a handbook to help practitioners evaluate these and other projects associated with career education. All Project Directors received copies of the first draft of the handbook, entitled A Functional Guide to Evaluating Career Education. Of the 20 reports of third-party evaluations available in September 1975, all showed clear evidence that the handbook was used. The revised version was distributed to directors of all career education demonstrations initiated in June 1976 by the Office of Career Education. In addition, the National Institute of Education is utilizing information on instrumentation which was gathered during the development of the Functional Guide.

o An interim report from a major study of Federal programs supporting educational change identified a number of factors contributing to the successful implementation of educational innovations. The results of the study are being used in various USOE efforts such as the program to disseminate Project Information Packages and the development of strategies for disseminating successful Follow Through models. The results of the study have also been instrumental in NIE's planning for dissemination of research findings.

- OPBE's Assessment of Vocational Education Programs for Handicapped Students, which reviewed 25 states, and the GAO study of vocational education programs in seven states, were completed during 1975 and both were circulated widely in Congressional committees. Both studies addressed in detail the administrative problems inherent in the existing system and described how States set priorities and allocate funds. Planning was reported as usually short-term and generally directed toward justifying certain projects. Lack of adequate management information inhibited planning and resulted in inadequate monitoring and evalution at the State and local levels. In the 1976 Amendments to the Vocational Education Act of 1963, Congress requires and authorizes funds for planning efforts at the State level, and mandates program planning and accountability efforts aimed at improving evaluation at the Federal, State and local levels. The 1976 Amendments also require the development of a national vocational education reporting and accounting system.

- During the final analysis phase of the Assessment of Vocational Education Programs for Disadvantaged Students, an intense effort was made to disseminate preliminary findings. During August 1976, a special interim report was sent to Congress on the status of the legal definition of "disadvantaged students" and its effect on how the program was administered. Preliminary study findings were thus available to the Congress during the drafting of P.L. 94-482, the Education Amendments of 1976.

- On the basis of the Evaluation of the Exemplary Vocational Education Projects Program, Part D, VEA, USOE identified seven major areas in the FY 1976 Proposed Rules and Regulations for the Program designed to correct weaknesses noted in the report. The study found that there were management problems at both the Federal and local levels which account for a lack of impact in most of the projects. The Program had been in operation only 3 years when the evaluation was done, and the immediate response through specific changes in operating procedures reflects fairly rapid utilization of evaluation results in a developing program.

- The findings of an evaluation of the Community-Based Right-To-Read Program made significant contributions to the guidelines for the establishment of reading academies for adult illiterates. Legislative provision for such academies is found in Section 723, Title VII, P.L. 93-380. Several major findings of the study are now encompassed in program guidelines.

o A Study of the Title I Migrant Education Program completed in 1974 emphasized problems in the current fund-allocation formula and procedure, providing impetus to the conversion to data in the Migrant Student Record Transfer System as the basis for fund allocation. That conversion, recommended by the study and authorized by P.L. 93-380, was subsequently approved by USOE.

o A reanalysis and synthesis of evaluation data for State programs under ESEA Title I during the period of Fiscal Years 1965 through 1970 led to a number of recommendations regarding program policy, budgeting, and management. These recommendations were incorporated into a Policy Implications Memorandum which became an executive document upon signature by the Commissioner of Education in December 1972. Study recommendations were also the basis for subsequent development of the "Packaging and Dissemination" Program referred to earlier in this section and in Section G of this Report.

- The *Analysis of Relationships Between Achievement Gains and Per Pupil Expenditures* failed to find evidence for the fairly widely held notion that a fixed amount (e.g., $300 per pupil) of compensatory education funds is necessary for significant education achievement gains among disadvantaged students. The study resulted in a Policy Implications Memorandum to the Secretary of HEW which recommended (successfully) that the Department no longer promote the "critical mass" position.

- The findings and recommendations from *The Federal Role in Funding Children's Television Programming* have evoked wide interest in the field. The National Association of Educational Broadcasters (NAEB) awarded the 1975 NAEB Book Award for this first major policy study of this area and have arranged for commercial publication of the report. The report has been the subject of specific sessions at several professional conventions and was reviewed and discussed by its author and USOE at meetings of the Corporation for Public Broadcasting.

- A study to identify effective projects in the ESEA Title VII Program resulted in approval of four projects by the Dissemination Review Panel. Descriptions of the four projects were disseminated nationally by the Title VII-funded national network of Training Resource Centers to school districts interested in a Spanish-English or French-English education program. USOE has also developed Project Information Packages (PIPs) for each of the four projects, and the PIPs are being field-tested during the 1977-78 and 1978-79 school years in those school districts that receive Title VII grants to implement the projects. The field test was one recommendation of the Policy Implications Memorandum (PIM) based on this study.

o In 1971 and again in 1973, when all indications suggested that colleges and universities were near financial disaster, the Cost of College studies identified components of increasing costs as equally divided between inflation and decreasing productivity on the part of the faculty. Since faculty costs account for over half the cost of education, a substantial part of the increase in the cost of education could have been controlled. The studies influenced the Departmental position to allocate available resources primarily to finance students instead of institutions.

In FY 1975, the finances of 50 selected 4-year colleges were reviewed in detail. Although the first study had suggested that the state of college finances was generally healthy, the last investigation suggested that while no institution in the study group's level had yet closed its doors, a number of the colleges may be on the verge of financial distress. These findings were used extensively for a policy paper on institutional aid which was submitted to the Secretary of HEW in January 1976.

- Studies have been completed for the Upward Bound, Talent Search, and Special Services programs for disadvantaged students. As a result:

  (a) Evaluation findings have been used in the writing and/or revision of regulations for the UB, TS, and SSDS programs so as to improve award procedures, overall program management, and monitoring and reporting procedures.

  (b) A Policy Implications Memorandum, incorporating the evaluative evidence, was developed for the Commissioner.

  (c) Evaluation findings from the two UB evaluations have been used in establishing policies concerning client selection, needs assessment, and coordination among projects and programs.

  (d) The findings of the evaluations of Upward Bound have been the basis for several articles concerning compensatory techniques in higher education (e.g., New York Times, Washington Post, UPI).

- From one major study and a series of smaller related efforts for the Developing Institutions Program, the concept of the Advanced Institutional Development Program was developed. Study results were also used for definition of program purposes and operational guidelines as the new program moved toward implementation. The basic elements of a planning and management system were defined, together with suggestions for selecting institutions for the program.

More recently, a study of the Title III Developing Institutions Program (Harvard Graduate School of Education, The Development of Institutions of Higher Education: Theory and Assessment of Impact of Four Possible Areas of Federal Intervention) found that funded and non-funded institutions were not significantly different in expenditures per FTE student, average faculty salaries, percentage of low-income students, endowment, or any other commonly used institutional characteristic. The results of this study were at least partly responsible for major changes in the proposed regulations for Title III grants.

- The National Longitudinal Study of the High School Class of 1972, funded by OPBE and NCES, was employed to generate information for the Department of Justice's examination of postsecondary admission/selection procedures. DOJ employed the analyses of the expected impact of the three procedures on minority participation in the preparation of a Friend of the Court brief for the U.S. Supreme Court hearing of Bakke vs. University of California, Davis.

- During a study entitled "Improving Consumer Protection Functions in Postsecondary Education", a student consumer-assistance kit was developed. The kit is entitled Safeguarding Your Education: A Student's Consumer Guide to College and Occupational Education, and contains two audio cassette tapes and background information which explores available options for students before making decisions. This student information kit is now being commercially distributed.

- An OPBE technical report, "An Alternative Approach to the Distribution of Campus-Based Aid" provided the framework for the new system of allocating campus-based student financial aid (SEOG, NDSL, and CWS) to institutions of postsecondary education. This new system differs from the past process by:

1. providing an objective measure of institutional need for funding based on easily obtainable and verifiable data;
2. being simpler than the past process and much less expensive;
3. eliminating the burdensome and overly subjective "panel review process"; and
4. being based on the premise that students of equal need should be treated equally.

- An important outcome of Federal evaluation studies has been the publication and distribution of "how-to" handbooks on topics in the area of education evaluation. Three handbooks are currently available, and several more are being written. The Government Printing Office has sold more than 12,000 copies of the first one published, A Practical Guide to Measuring Project Impact. In addition, USOE distributed nearly a thousand copies. More than 10,000 copies of the second handbook, A Procedural Guide for Validating Achievement Gains, have been sold since it became available. The third monograph, dealing with estimation of education costs, has recently become available from the Government Printing Office and from USOE. Handbooks are currently being written on such topics as students' affective development, assessing bias in achievement tests, and management of a large-scale testing program. USOE is soliciting ideas for more topics to be included in the series.

- A product of the Planned Variations Study was a report on "Student Performance Measures for Evaluative Secondary and Postsecondary Intervention Programs." A copy of this report was distributed to every field project of the Special Services for Disadvantaged Students Program and the Upward Bound Program. Many letters about the usefulness of this report and letters requesting additional copies were received from the field projects.

F. FEDERAL PROGRAM IMPACT ON IMPROVING ACCESS TO A QUALITY EDUCATION

Acquiring Basic Skills

Three major programs administered by OE place heavy emphasis upon providing supplementary services to facilitate the acquisition of basic academic skills by the educationally disadvantaged. They are Title I of the Elementary and Secondary Education Act, the Basic and Pilot programs of the Emergency School Aid Act (ESAA), and Title IV of the Indian Education Act.

Under Title I, 76 percent of the funds apportioned for the Basic LEA Grants program are used to support basic skills instruction. Similar percentages for the Nelected or Delinquent and Migrant programs of Title I are 70 and 54 percent, respectively. Of the ESAA Basic and Pilot program funds, about 70 percent were used to support basic skills instruction in the elementary grades. Under the Indian Education Act, from one-fifth to one-third of the projects are funded involved objectives pertaining to basic skills.

Recent evidence is available on the ways in which project participants benefit from these efforts and on the nature of unusually effective projects, for the Basic LEA Grants program under Title I and for the Basic and Pilot programs under ESAA. Elementary students who receive compensatory assistance in reading supported by Title I were able to maintain or improve their achievement status relative to their more advantaged peers during the school year rather than fall further behind, which is the usual fate for many unassisted disadvantaged children. However, the extent to which these gains are maintained over the summer and in subsequent years is unknown but is the subject of a current evaluation study. Students in ESAA Basic elementary schools showed greater achievement gains than would be expected without the assistance of the program.

A number of attributes relating to planning, management, and the teaching staff were found to differentiate between unusually effective and ineffective projects in both the Title I and ESAA studies. Unusually effective projects can be characterized as having a staff that shares a basic skills goal and emphasis, has strong administrative guidance and direction, expends more time or resources on basic skills instruction, and uses age-appropriate student rewards in relation to their academic progress.

The Indian Education Act, Title IV of P.L. 92-318, was passed in 1972 in order to establish a separate title for Indian elementary, secondary, and adult education. Title IV authorized funds for meetig the special educational needs of Indian children and adults. Title IV programs have made some recent progress in addressing the basic educational skills of Indians. Data show that in FY '75 (the latest year for which data are available), 29 percent of Part A funded projects were designed to improve the basic educational skills of Indian children. Similarly, 20 percent of the funded Part B project which support planning, dissemination, and pre- and in-service training contained objectives addressing the basic educational skills of Indian children. Although Part C programs are designed to improve the educational opportunities for adult Indians, 34 percent of these funded projects contained objectives addressing the basic educational skills of Indian adults.

Eliminating the Effects of Discrimination

School districts that desegregate their schools are eligible for Federal assistance under the Emergency School Aid Act (ESAA). The purpose of ESAA is to provide financial assistance related to the implementation of a public school desegregation plan and to assist schools which remain racially isolated after a desegregation plan has been implemented.

Three recent studies have criticized the targeting of ESAA funds, pointing out that many school districts funded had desegregation efforts which were completed years ago. In Fiscal Year 1977, 70 percent of ESAA Basic Grants--the largest component program of ESAA--were to districts that implemented a desegregation plan prior to 1973. Activities have been supported which are not directly related to the implementation of a desegregation plan despite the efforts of the Office of Education, in part because local proposal writers are able to present programs for compensatory education in the guise of desegregation-related needs.

There has been little new desegregation since ESAA was enacted in 1972. ESAA funds do not generally provide an incentive for districts to initiate desegregation, but largely provide compensatory education services similar to those provided by Title I of the Elementary and Secondary Education Act. One technique for desegregating schools--magnet schools--is supported as a separate ESAA sub-program. Magnet schools are designed to offer a special curriculum which is capable of attracting substantial numbers of students of different racial backgrounds. An OE-sponsored study is assessing the effectiveness of magnet schools in achieving desegregation.

Another aspect of eliminating the effects of discrimination is leadership by school principals and teachers to promote a climate of equality within desegregated schools. Several OE-sponsored evaluations have documented the importance of both non discriminatory practices (e.g., teachers not pointedly ignoring or criticizing minority students) and affirmative human relations programs (e.g., the use of multi racial curriculum materials and school displays). Such actions have both a moral and a legal basis, as well as a consistent ESAA evaluation history of improving the quality of race relations or academic achievement within desegregated schools. ESAA does fund some human relations programs and there is evidence that ESAA funds serve as an incentive for school districts to come into compliance with special ESAA non discrimination requirements.

A recent evaluation found that community organizations can perform such activities as developing community support for a desegregation plan or improving school-community relations more effectively than school districts. Groups funded under the ESAA Nonprofit Organizations program tend to be less effective than other organizations in the same communities. In part, this is due to the tendency of ESAA Nonprofit Organizations to undertake "safer" remedial and tutorial programs, even in districts in the initial stages of desegregation. Fortunately, the problems are subject to Federal intervention and do not represent fundamental weaknesses of community organizations themselves.

A related program is Title IV of the Civil Rights Act of 1964, which is primarily a program of technical assistance and training services provided by universities and State education agencies to school districts. Recent changes in the Title IV program based on an OE-sponsored evaluation study direct Title IV-funded Desegregation Assistance Centers to give first priority to providing assistance in preparing and adopting race desegregation plans. Several other changes are also designed to increase the identity of Title IV as a desegregation assistance program.

In the area of sex discrimination, a follow-up study was conducted of the Title IV program after sex discrimination technical-assistance services were added to the program. There was concern that one type of service (either race desegregation or sex discrimination) might overwhelm the other. The follow-up study suggests that these concerns are unfounded.

A study is now in progress to assess the extent of sex stereotyping and sex discrimination in vocational education programs and to report the progress that has been made in reducing such inequities. Designed to meet the mandated requirements of Section 523(a) of the Education Amendments of 1976, the study will also report on progress in reducing sex inequities in the occupations for which vocational students train. The study will focus on how State administrators are fulfilling the various requirements for eliminating sex inequities mandated in the 1976 Amendments and will report current policies and practices within a sample of schools.

Improving the Quality of Educational Practices

Several programs administered by USOE have, as one of their purposes, the improvement of the quality of educational practices. Those discussed in this section are selected because improving practices is the primary purpose of these programs. The programs in this category are:

Community Education
Consumers Education
Education in the Arts
Gifted & Talented Educ.
Metric Education
Environmental Education
Indian Education, Part B
Indian Education, Part C
Right-to-Read
Teacher Corps

All of these programs support demonstration projects. Because of limited evaluation funds, however, only Community Education, Right-to-Read, and Teacher Corps, have been evaluated.

Community Education. The purpose of the Community Education program is to demonstrate effective practices in community education and to stimulate wide adoption of these practices. A recent study of this program indicates that it has been quite effective in achieving its purposes. Specifically:

- substantial levels of effort, essentially in keeping with the terms of the federal grants and federal policy, had been expended;
- these levels of program effort and activity were achieved, in part, because there were substantial commitments of non-federal resources, supplementing the federal funds;
- the majority of the projects which had received federal funds for only one year were continuing at least some of these activities, and in several the level of effort, even without federal funds, had increased; and

- these project-supported activities had produced desired effects on the educational and broader community systems with which they were concerned, and also produced identifiable changes in individuals which were appreciated by these project participants.

The primary negative finding was that recordkeeping at the project level was inadequate. That is, it is clear that programmatically meaningful data do not now exist, nor can they be gathered without a substantial level of effort.

Teacher Training. Currently, Teacher Corps is implementing a new program thrust. It is intended that Teacher Corps field projects consist of a consortium of an institute of higher education (IHE), an LEA, and a community advisory group. The goal of these projects is to provide inservice training to teachers responsive to both LEA and community needs with a hoped-for side benefit of reform of IHE teaching practices. Additionaly, the training is intended to instill a greater sensitivity to the needs of minority and/or disadvantaged children so that the teacher can work more effectively with these children. Teacher Corps intends to demonstrate several models directed toward these objectives.

A study of Teacher Corps graduates of preservice training projects showed Teacher Corps to be partially successful in achieving similar objectives. The study shows that Teacher Corps graduates were superior to control group teachers on many of the teacher performance variables desired by Teacher Corps. The Teacher Corps graduates were most different from control group teachers in terms of (a) developing ethnically relevant curricula, (b) using community resources in teaching and initiating contact with parents, and (c) having positive attitudes about reading development and causes of poverty in the society.

These variables reflect a special concern about low-income minority group children on the part of Teacher Corps. However, there were no differences in such areas as being a change agent in the school or the interaction between teacher and pupils in the classroom, as assessed by the teacher performance measures used in the study. Further, there were no significant differences between Teacher Corps and control group classes on any reading measure, despite a greater emphasis on reading instruction and academic subject matter on the part of control group teachers in grades 2-3. Teacher Corps graduates, however, were able to bring about changes in a child's self-concept that were significantly greater than changes brought about by control group teachers. These changes consisted of observed expressions of greater happiness and greater self-worth in the classroom, and better scores on important subscales of the Piers-Harris self-concept scale.

Right-to-Read. This program has developed several strategies for demonstrating improved practices. One strategy that has some unique characteristics is the State Leadership Program which was recently evaluated. The rationale for supporting the State Component of the Right-to-Read Program has always been one of providing money which would assist State educational agencies (SEA's) in disseminating the Right-to-Read strategy among the local education agencies (LEA's) within their jurisdictions.

The results of the case study portion of this study, summarized below, indicate that the approach taken by Federal administrators responsible for the State Component of the Right-to-Read Program appears to have been successful in that the programs have achieved meaningful effects utilizing a relatively modest amount of money.

- State Right to Read Programs have made considerable efforts to involve large numbers of local districts in Right to Read.
- Training has been a major focus in the State Right to Read Programs. The number of hours of training provided to local district Directors has varied from at least 30 to more than 200.
- Data indicated that Right to Read will continue in many States even in the absence of Federal funds.
- While Right to Read programs have been implemented to at least a minimal degree across grade levels, the major programmatic focus of Right to Read has been at the elementary level.
- Reading has been established as a top priority in State Education Agencies and in Local Education Agencies.

It should be noted that none of these outcomes relate directly to reading achievement on the part of students. The reason for this is that this study was designed solely to assess the type and level of activities which have been fostered by the State Component of Right-to-Read funding.

Overcoming Obstacles to Equal Education Opportunity

There are several USOE programs in which have as their purpose overcoming obstacles to learning. The programs administered by the Bureau of Education for the Handicapped address the special educational needs of the mentally, emotionally and/or physically handicapped. In the Bureau of Occupational and Adult Education, there are programs which support delivery of services to the handicapped, the economically disadvantaged, and non-English speakers. There are also programs for Native Americans and a program of preventive education on alcohol and drug abuse.

Education for the Handicapped. The several programs authorized under the Education of the Handicapped Act have had one or more of four basic purposes: (a) provision of direct services, (b) development and demonstration of new technologies, teaching methods, and materials, (c) training special educational personnel, and (d) program evaluation. In each of the programs, the role of the Federal government has been a stimulative one, whereby "seed" money is provided to States and other grantees, in order to stimulate increases in both the quantity and quality of services provided and to provide services for previously unserved handicapped children. The strategy for evaluating programs for the handicapped has been designed to determine if the programs have accomplished their specific purposes, and, more generally, have had the desired stimulative effect. Accordingly, evaluation studies have been of two kinds: (a) those designed to obtain objective data on the impact and effectiveness of specified programs, particularly those which represented a major Federal investment of funds, and (b) those designed to provide policy-relevant, planning information to enable the Federal government to target its resources more effectively.

Studies of the first type have, in general, demonstrated that these programs have accomplished their specific purposes. Efforts to isolate the stimulative effect and to demonstrate a causal relationship attributable to Federal programs have been complicated by forces outside the span of control of Federal evaluators and program managers. Examples of these forces range from effective lobbying by parents and professional groups with special interests in education of the handicapped to court cases which have demonstrated that handicapped children have not had equal access to educational opportunities. Because of these events, an increase in resources for handicapped children has led to a corresponding gradual increase in the number of handicapped children receiving services. As noted above, the degree to which Federal programs have contributed to this increase has not been determined.

Vocational Education for the Disadvantaged. A recent study assessed programs for the disadvantaged under the State setaside grant program and Part A, Section 102 (b) providing 100 percent funding of vocational education programs for the disadvantaged. Findings indicate that State and local administrators have difficulty in interpreting the congressional definition of "disadvantaged" because: (1) they see an apparent conflict between the identification of students on an individual basis and the designation of target areas or groups; (2) they cite the existence of allegedly conflicting definitions of "disadvantaged" contained in laws other than the Vocational Amendments of 1968; and (3) local administrators indicate they are unwilling to "label" students as disadvantged. The most common criterion used to identify disadvantaged students was academic, that is, students who are one or more grade levels behind their peers.

The vast majority of the Federal funds were used to hire staff who work directly with students. Only a small portion of funds were used to hire administrative personnel and the result appeared to be that the program suffers from lack of planning and monitoring at all levels.

The major constraints in developing programs mentioned by respondents at all levels were: lack of funds, lack of facilities, unwillingness of some instructional personnel to accept disadvantaged students into their classes, the negative image of vocational education and ambiguity of the term "disadvantaged student." There are positive outcomes for the programs. Program costs at $395 per enrollee (Federal costs) and $401 per enrollee (combined Federal, State and local) were low. The average completion rate (83 percent) was high. The student participant ratings of the programs were overwhelmingly favorable and the employer ratings of the programs and their student employees were also favorable. Administrators generally attribute the favorable rating of students to the fact that enrollees do receive attention they have not received elsewhere.

Vocational Education for the Handicapped. Findings indicate that the Part B setaside for the handicapped has resulted in projects which would never have occurred had there been no such legislation. About 93 percent of the funds were used to provide direct services to students. Cost and outcome data were seriously deficient at both the State and local levels. However, according to what data were available, including results of the student, parent and employer interviews, the program appeared to be working well. Costs per student and completer were not excessive and placement rates ranged from 48 to 60 percent for completers. About 33 percent reenrolled in school, and only about 15 percent of the completers were unemployed.

There is little long-term planning at the State or local level. Planning was limited to review of project proposals and decisions as to which proposals would be funded, generally on the basis of the sizes of school districts and other formulas. Factors which mitigated against planning at the State level were the independence of the local education agencies and the fact that only one person was assigned at the State level to administer the setaside program.

Bilingual Vocational Training. Information on the effectiveness of the program is currently being gathered; however, information on the need for such services is available. Data prepared for the mandated report, The Status of Bilingual Vocational Education, indicate that persons from non-English backgrounds have significantly less educational attainment than those from the total population. Bureau of Census data from the Survey of Languages, completed in 1975, indicate that about 19 percent of the total population aged 19 or older have completed only the eighth grade or less. Those from households whose usual language is non-English, from the same age group, report that 58 percent have completed only the eighth grade or less. The largest group, those from Spanish-speaking backgrounds, have an unemployment rate more than 5 percent greater than for those from English-speaking backgrounds.

An inventory of bilingual vocational training programs for adults within the 50 States identified 98 programs in 21 States. Approximately 13,000 students are enrolled at any given time in bilingual programs which provide occupational training in nearly 400 courses. Thirty-eight percent of the programs are in California and 81 percent are in eight States: California, New York, Texas, Arizona, Pennsylvania, New Mexico, Connecticut and Massachusetts.

Indian Education. Under Part A of the Indian Education Act, projects to meet the special education needs of Indian children are funded. A study of this Program found that sixty-two percent (62%) of the funded Part A projects contained objectives directed toward the instruction of cultural heritage and native language; fifty-eight percent (58%) had objectives emphasizing remedial reading; fifty-six percent (56%) emphasized selfconcept objectives; and forty-six percent (46%) emphasized remedial mathematics objectives. The initiation of innovative projects did not always insure effective implementation. However, the study shows that effective implementation appears to be a function of the project's grant size, objectives, parent involvement, and Indian population density.

Alcohol and Drug Abuse Education. This program is implementing a new strategy which it describes as "teams teaching teams." It is hoped that the new strategy will achieve a multiplier effect through a two-step process: (1) Teams are trained in "clusters" rather than in geographically unrelated groups. (A geographically related cluster is comprised of a team from a high school joined with teams representing the elementary, middle, and/or junior high schools feeding into that high school.) (2) the most impressive trainees in these clusters become, through further training and one year of on-site technical assistance, new trainers for other schools and groups of schools in their district or community, while continuing to receive some technical assistance from the Federal program.

Two studies funded by the program found that (a) trainees felt their training was effective, (b) that one-half to two-thirds of the teams were still functioning a year or two after training, (c) that the majority (about 80%) of the teams were performing activities which they had been trained to perform, and (d) in the judgment of the evaluators, these activities were effective. There has been no definitive evalution of impact on student behavior. However, voluntary reports from operating teams cite evidence of substantial decreases in suspensions, vandalism, and discipline infractions. Several teams have provided evidence of a multiplier effect both by increasing the numbers of teams (and therefore schools covered) through training and, in some instances, by raising financial support which cumulatively represent a total significantly in excess of the total funding level for the ADAEP. Since the program does not provide financial support for such reporting, many teams do not provide reports. Thus, it is not claimed that the teams reporting are representative of all teams trained.

Learning Resources to Improve the Educational Experience

A number of programs administered by USOE do not contribute directly to the educational process but do develop resources which serve as a useful adjunct to the process. Most of the programs in this category are those in which the primary function is the improvement of library services; three other programs are involved in some aspect of educational television. The programs are:

Libraries and Learning Resources (ESEA IV-B)
Library Services (LSCA I)
Interlibrary Cooperation (LSCA III)
College Library Resources (HEA II-A)
Library Career Training (HEA II-B)
Library Research and Demonstration (HEA II-B)
Strengthening Research Library Resources Program (HEA II-C)
Undergraduate Instructional Equipment (HEA VI-A)
Educational Broadcasting Facilities
Educational Television and Radio Programming Support
ESAA-TV Programming Support

Library programs provide a variety of support ranging from grants for "hardware" and "software" to upgrade the resources of school, college, and public libraries, to training fellowships, and to research and demonstration projects to improve the quality of library practices and services. The programs focused on educational television (and radio) either support program (series) development or improvement of broadcast facilities.

Educational Television. Because OE has not had a clear definition of the Federal role in educational television programming, a planning study was performed. Among the more important findings was that the common OE practice of limiting grants to 3 years is counter-productive. It was found wasteful to pay the tremendous start-up costs of a high-quality purposive television series for a single broadcast season, and then withdraw support to fund other projects. A fair market trial can take 4 to 5 years. Experience at the Children's Television Workshop (CTW) indicates that it takes 1 to 2 years just to prepare a major purposive series for national distribution, and then it takes 2 to 3 years of promotion and remake to determine how well it can do in the marketplace, and whether or not it can develop convincing levels of consumer demand for continued services. A limited-channel distribution system can only accept a limited number of series. These few should be well-funded in the first place, and funded for a sufficient length of time to provide a fair market trial. At present there is no apparent policy answer to the question of continuing support in case an experimental series succeeds.

ESAA-TV. In the context of an ongoing study of this program, a survey was conducted to determine the extent of viewing of TV series produced with ESAA support. The following findings are a result of this survey:

- o Availability to Potential Target Audiences. For the 11 TV series available for viewing, the percentage of potential target audiences residing in areas where the series were aired ranged from 3% to 81%. Four series could be viewed by between 32% and 42%, and four other series could be viewed by 74% to 81% of the potential target audiences.

- o Awareness of the TV Series. A relatively small proportion of children were found to be aware of the TV series. The percentages of awareness generally fell in the 20% to 40% range but went as low as 4% and as high as 55%. Overall, less than a third of the children had heard of the ESAA series being shown in their areas.

- Viewing at Some Time in the Past. Generally, between 10 and 25 percent of the children reported having ever seen an ESAA-TV series.
- Viewed Last Week. The proportions on this variable were low, with most ranging between 0 and 5 percent.
- Preference for ESAA Series. Children were asked to indicate their preference between ESAA series and their competitors in the same time slot. In grades 1 and 4, between 5 and 10 percent indicated preference for the ESAA series; in grades 7 and 10, between 0 and 5 percent indicated this preference.

The viewership data can be interpreted from three perspectives. The first compares ESAA-TV to broadcast entertainment television. Given this standard of comparison, the low viewership of the ESAA-TV series is a cause for concern. A second standard of comparison is offered by the perspective which sees ESAA-TV as purposive television. The viewership findings indicate that ESAA-TV is comparable to other purposive programs, which always draw a smaller share of the audience than broadcast entertainment programs. Finally, ESAA-TV can be evaluated with respect to alternative means to reduce cultural isolation. This perspective seeks to examine the number of children served through the various alternative mechanisms; however, the necessary data for this comparison are not presently available.

Library Programs. Studies of two library programs have recently been completed. The programs evaluated were the Library Research and Desmonstration Program and the Interlibrary Cooperation Program.

The HEA II-B Library Research and Demonstration Progam has had a significant impact upon the library and information community merely by virtue of its existence. The Program has provided millions of dollars for innovative research and demonstration, where previously there were very few funds available. It is the only Federal Program that as part of its effort, supports a wide range of research to improve public library services. The Program has generated new knowledge about innovative approaches to networking, serving special target groups, utilizing community resources, and new technology. Several projects have been successful locally and a few have had national impact, such as the series of projects which contributed to the development and improvement of the Ohio College Library Center.

The impact of the Program has been lessened because of several major shortcomings: lack of a cohesive national plan for the direction of the Program, lack of adequate dissemination at the national level, and lack of other aspects of a linkage system that would propel the findings of this Program into practical applications on a wide scale. The Program has not realized its full potential. In order to be more successful, the Program needs to be more focused, more adequately funded, and given greater control over the grants process.

LSCA III has impacted the development and expansion of library cooperation in a number of ways. LSCA III is a major driving force behind the development of multitype library cooperation and networking, primarily at the State level. Along with LSCA I, use of LSCA III has resulted in greater centralization of planning and administration of library services at the State and regional levels. LSCA III was credited as a major influence on State legislatures to modify or pass into law legislation favoring cooperation and networking. Activities and services to increase access to library resources and to provide librarians with needed continuing education were listed as the major outcomes of the cooperative and networking projects.

Although LSCA III has had a definite, positive impact on the development of multitype library cooperation and networking, several shortcomings and anomalies were identified. Some of these will require Federal attention and others must be addressed at the State or local level.

First, significant amounts of LSCA I funds (approximately 20 percent of the Fiscal Year 1976 appropriation) were used by the States to partially or completely support multitype library cooperation and networking activities. It is not known if this may be detrimental to the mandate of LSCA I (development and support of State efforts to expand and extend public library services to the unserved and underserved), of if this is an effective means of supporting these types of projects.

Second, LSCA III was providing support for projects that had become integrated into the States' basic programs of library services. This finding should not be interpreted as indicating that the States are misusing LSCA III funds. The legislation clearly specifies that use of LSCA III for the operation of cooperatives and networks is allowed. However, given the modest funding level of LSCA III and the level of use of LSCA I and State funds, a shift in emphasis is called for. Slightly more than 85 percent of the projects receiving LSCA III funds were ongoing projects, scheduled to continue operations for an indefinite period of time. Only 14 percent of the LSCA III supported projects were short-term, trial projects. This suggests that LSCA III funds are being targeted more at operational activities than at the riskier research and development activities.

Further, many of the projects funded by LSCA III were restricted in the range of cooperative and networking services they supported. The interlibrary loan and reference and referral services provided were, no doubt, efficient and a proper means of gaining access to a wide variety of libraries. However, there was some question as to how many patrons actually needed and used such services; and there were a number of other essential library support services, such as document access and sharing, warehousing and shared storage of low-use materials, which were not being provided. The question that must be raised is how more LSCA III funds can be directed towards exploring new forms of cooperation and networking which will further increase the efficiency and economy of library services, as well as increase access to library resources?

Bridging the Gap Between Work and Education

The major programs in this area are those authorized by the Vocational Education (VE), Adult Education (AE), and Career Education Incentive (CEI) Acts, which, with the exception of the CEIA, are administered by the Bureau of Occupational and Adult Education. The CEIA is administered by the Office of Career Education.

By far the largest source of support for activities in this area comes from VEA Programs where the appropriation for FY 1978 was $632,095,000. The purpose of Vocational Education is to help individuals bridge the gap between education and work by providing the knowledge and training needed for specific occupations. Currently, funding for Federal vocational education programs is of two basic types:

Formula Grants to States

Allocated on a formula basis, these constitute grants to States to assist them to maintain, extend and improve existing programs of vocational education; to develop new programs of vocational education; and to provide part-time employment for youths who need the earnings from such employment to continue their vocational training on a full-time basis, so that persons of all ages will have ready access to vocational training or retraining which is of high quality.

Funds are distributed through three separate authorities - Programs for the Disadvantaged, Basic Grants to States, and Consumer and Homemaking, the largest of which is Basic Grants for which $537,833,000 was appropriated in FY 1978.

Discretionary Programs

There are three programs through which grants and/or contracts are awarded at the discretion of the Commissioner. These are Programs of National Significance (research, demonstration, and development projects), the Program for Indian Tribes and Organizations, and the Bilingual Vocational Training Program.

Evidence of effectiveness. The Federal Government gives vocational education a priority accorded to no other kind of high school curriculum. A sevenfold rise in public outlays for vocational education during the last decade has increased enrollments to the point that now more than 1/3 of the Nation's high school students take vocational subjects. While it is true that initial Federal expenditures on vocational education in 1963 provided an impetus to State and local spending in the same area, no studies have been conducted to determine whether the Federal program continues to provide this impetus. Though it is widely believed that Federal dollars no longer catalyze the expenditure of State/local funds for several vocational education programs because of the large State/local overmatch, Federal set-asides for national priority groups do have some catalytic effect. For example, set-asides for the disadvantaged and handicapped have increased the number of programs for these groups. No evidence is available on whether the postsecondary set-aside is responsible for the doubling of postsecondary vocational enrollments (e.g., in community colleges) since 1970.

Measurement problems and interpretation ambiguities make it difficult to characterize vocational education and its Federal support as either a success or failure. One problem is that employment is not the primary objective of all vocational students. Another is that economic conditions probably much more powerfully influence employment among youth than curriculum choice. Despite these limitations, there are some useful data from four national longitudinal studies that provide a sufficiently long time-frame to assess employment outcomes for vocational education graduates. (Local/State studies are flawed because of lack of enough follow-up and inability to control for local economic fluctuations and mobility of graduates.)

- Taken together, the longitudinal studies suggest that secondary vocational education creates no labor market advantages for its graduates, except in the case of young women in office occupations who, compared to other graduates, experience fewer spells of unemployment, have higher hourly wages, and work in jobs related to their training. Other vocational graduates get jobs not too unlike non-vocational graduates within 3 years after graduating, experience similar rates of pay and unemployment, have similar degrees of job satisfaction, are no more knowledgeable about occupations than non-vocational students, are as likely to drop out as other students, are less likely than other graduates to continue formal education in colleges and universities but as likely to obtain additional occupational training. Post-school training (outside of colleges) pays off more for vocational graduates than for other graduates.

- Because secondary vocational students have lower aptitude test scores and tend to come from poorer families than other students, many assume that these students would lose interest in school if vocational education were not available. This hypothesis has never been tested, however.
- Other studies which include data on postsecondary students indicate that such students are more likely to enter training-related jobs.

While VEA programs are intended to support training in specific occupational skills and are primarily focused at the secondary and postsecondary levels, the emphasis of career education is on building a broad understanding of different types of work at the elementary level with later development of decision-making skills in relationship to exploration of appropriate occupations. Until this year, the Career Education Program was authorized by the Special Projects Act (SPA) and was viewed as a development and demonstration program. One of the requirements of the SPA was that the Commissioner conduct a national survey to determine the status of Career Education in the United States.

The report on "Career Education in the Public Schools, 1974-75: A National Survey" was completed and forwarded to the Congress in May 1976. This study, which was mandated by Public Law 93-380, showed that interest in career education was widespread in the United States, but that broad implementation had just begun. Although 52 percent of the Nation's students were in districts where at least one of 15 major career education learning activities was broadly implemented, only a fifth (21 percent) were in districts where over half of the 15 activities were well established. These findings, which suggested that the implementation of Career Education in public schools would require several years, were one of the bases for the Career Education Incentive Act, Public Law 95-207 passed in December 1977. This Act authorizes formula grants to assist States in implementing Career Education in local schools. It also continues the Commissioner's discretionary authority to make demonstration grants to State and local agencies and to post-secondary institutions.

Special attention has been given to evaluation during the development of the Career Education Program. Several projects have focused on the development of technics for obtaining evidence of the effectiveness of various career education activities. One such project initiated a search for ten activities which had already been evaluated locally and had evidence of effectiveness which would meet the high standards of the Education Division's Joint Dissemination Review Panel. Of the ten projects submitted to the Panel, seven were approved. These activities covered various grades from K through 12 and were located in six different States, thus suggesting that many career educators are accomplishing their objectives. However, analyses of the 257 written evaluations reviewed during this project showed two major problems: (1) the designs often did not permit the outcomes to be attributed directly to a specific career education activity, and (2) few local evaluators structured their data-gathering efforts to permit comparisons between participating (treatment) students and non-participants (controls).

Almost all of the States and Territories have now developed plans for implementing Career Education. Support was provided for developing these plans under PL.L 93-380, and support for implementation will be provided under the new Incentive Act. An evaluation of these plans is currently under way, and results concerning a given State will be available to personnel in that State Department before the first State plan is due under the new Act.

The Adult Education Program focuses on yet another aspect of the transition from school to the world of work. Specifically, this program provides support to the States for projects which will assist adults to obtain the basic skills (i.e., language and computation skills) necessary to function effectively in an occupation. Though no recent study of the Adult Education Program has been done, a study reported on in 1973 indicated that adults show increases in such skills on an average of about one month's gain for each month of instruction. A needs assessment, reported on in 1976, indicated that there is a substantial unmet need for Adult Education. Finally, a survey of 43 States in 1977 indicated that there is a substantial projected savings to States (an average of about $868,000 per State) when adult learners are able to relinquish public assistance.

Reducing Financial Barriers to Postsecondary Education

The primary goal of OE's postsecondary education programs is to enhance educational opportunity. The principal strategy in pursuit of this goal is to provide funds for student assistance, both directly to students and indirectly through States and institutions of postsecondary education. The assumptions behind this strategy are that students should be aided first who are financially needy or disadvantaged and that students will bear some of the responsibility for financing their education. Total obligations for these programs administered by OE in FY 1977 were slightly more than $3.2 billion.

The forms of direct Federal student assistance administered by the Office of Education include grant programs (Basic Educational Opportunity Grant, Supplemental Educational Opportunity Grant, State Student Incentive Grant), which provide nonreturnable aid ($2.21 billion in FY 1977); self-help programs (College Work-Study, Cooperative Education, Guaranteed Student Loan, National Direct Student Loan), which accounted for $1.05 billion in FY 1977 1/; and service programs (Talent Search, Upward Bound, Special Services to Disadvantaged Students, Educational Opportunity Centers, and Legal Training for Disadvantaged), aimed at recruiting, counseling, and tutoring disadvantaged students both before and after they are enrolled in postsecondary education ($85 million in FY 1977). Indirect assistance comes from institutional support programs, the largest of which was the Developing Institutions program, which accounted for $192 million in FY 1977. The following analysis focuses on the impact of student financial aid programs with particular emphasis on grant aid.

1/ This amount includes obligations only; actual loans made in FY 1977 under the Direct Loan and GSL Programs were in excess of a billion dollars.

The Impact of Student Assistance Programs

(1) Participation Rates

At the outset it should be made clear that while participation rates are readily available and commonly employed measures of how young people are choosing among, gaining access to, and persisting in institutions of postsecondary education, they are not measures of the distribution of educational opportunity. Rather, they are measures of the results of young people's response to a number of education and noneducation variables. Differences in these rates by student or family characteristics (such as income, sex, ethnicity, or State of residence) should not by themselves be taken as evidence of a lack of opportunity for access or as evidence that student aid programs are not having an important impact on educational opportunity.

Nonetheless, such rates describe important features of the context in which the student aid programs operate.

Table I attempts to show where we are in access terms, using the participation rates based on preliminary tabulations of the high school class of 1974 surveyed in the spring of 1976.

Table I

Distribution of 1974 High School Graduates Currently or Ever Engaged in Postsecondary Study vs. Nonstudy Activities in Spring 1976 by Family Income

Family Income	Percent Four-Year Inst.		Percent Two-Year Inst.		Percent Voc./Tech. or Other 1/		Percent Not Studying		Percent Total		Percent Studying All Inst. Types	
	Current	Ever	Current	Ever	Current	Ever	Current	Ever	Current	Ever	Current	Ever
$0 - 2,999	25.0	27.1	10.5	17.4	7.3	18.0	57.2	35.5	100	100	42.8	64.5
$3,000 - 5,999	21.0	25.5	15.7	22.6	5.1	14.2	58.2	37.7	100	100	41.8	62.3
$6,000 - 8,999	24.5	26.0	15.8	22.2	3.9	12.5	55.9	39.2	100	100	44.1	60.8
$9,000 - 11,999	25.2	29.8	17.8	27.4	4.3	10.7	52.7	32.2	100	100	47.3	67.8
$12,000 - 14,999	24.7	29.0	22.1	30.0	6.5	12.8	46.9	28.1	100	100	53.1	71.9
$15,000 - 19,999	34.5	39.8	22.3	26.8	4.4	10.1	42.1	24.0	100	100	57.9	76.0
$20,000 - 29,999	41.3	46.1	20.1	27.5	3.5	8.1	35.0	18.4	100	100	65.0	81.6
$30,000 or More	53.2	59.2	16.4	23.2	4.0	7.3	26.5	10.2	100	100	73.5	89.8
Income Unknown	26.5	31.4	17.7	25.2	4.4	10.8	51.4	32.7	100	100	48.6	67.3
Total	32.7	37.1	18.4	26.0	4.5	10.6	44.4	26.3	100	100	55.6	73.7

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education. Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

1/ Other includes all other formal postsecondary training or schooling programs.

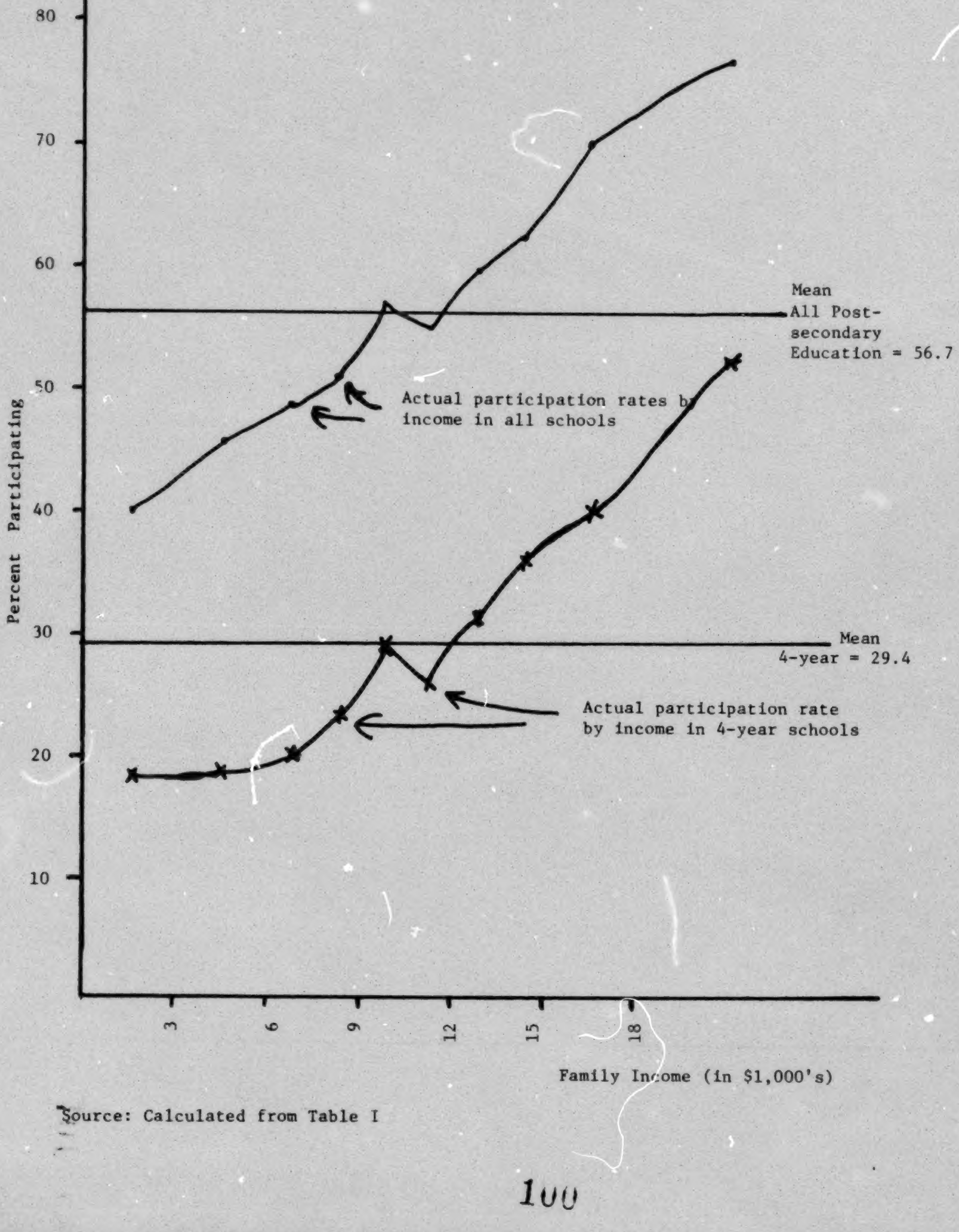
The data in Table I indicate that participation in postsecondary study activities varies markedly with the level of family income. This variation is apparent whether viewed in terms of currently engaged (spring 1976) or ever-engaged participation rates. The difference in current participation between the lowest and highest income group is over 30 percentage points. Figure 1 graphically displays the current participation rate data of Table I for all types of institutions and compares these data to the mean participation rate for all income classes. As can be seen, the relationship between income and participation is striking.

The data in Table I and in Figure 1 also indicate that the increasing proportions engaged in postsecondary study activities at higher income levels are principally a function of increases in the 4-year college-going rates with income. For example, less than 25 percent of the lowest income groups attend 4-year institutions while over 50 percent of the highest income class falls into this category. These data also show it is much more probable that a low-income high school graduate will attend a vocational/technical type of institution than that a high-income student will. These general impressions with respect to choice of institutional type are also reflected in Table II, which shows the distribution of students by income and institutional type and includes only those members of the survey who are currently (spring 1976), or at some time after high school graduation, engaged in some form of postsecondary study.

Data in Table III indicate that it is somewhat more probable that a low income student will fail to complete a postsecondary program than

Figure 1

Actual Participation Rates of the High School Class of 1972



Source: Calculated from Table I

Table II
Distribution of 1974 High School Graduates Currently or Ever Engaged in Postsecondary Study Activities in Spring 1976 by Institutional Type and Family Income

	Institutional Type							
Family Income	Percent Four-Year Inst.		Percent Two-Year Inst.		Percent Voc./Tecn. or Other 1/		Percent Total	
	Current	Ever	Current	Ever	Current	Ever	Current	Ever
$0 - 2,999	58.5	43.3	24.6	27.8	16.9	28.9	100	100
$3,000 - 5,999	50.4	40.9	37.6	36.4	11.3	22.7	100	100
$6,000 - 8,999	55.6	42.8	35.8	36.5	8.7	20.7	100	100
$9,000 - 11,999	53.2	43.9	37.7	40.4	9.1	15.7	100	100
$12,000 - 14,999	46.4	40.4	41.5	41.7	12.1	17.9	100	100
$15,000 - 19,999	59.5	51.5	33.0	35.2	7.6	13.3	100	100
$20,000 - 29,999	63.6	56.5	31.0	33.6	5.5	9.9	100	100
$30,000 or More	72.4	66.0	22.3	25.9	5.3	8.2	100	100
Income Unknown	54.5	46.6	36.5	37.4	9.0	16.0	100	100
Total	58.8	50.3	33.0	35.2	8.2	14.5	100	100

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education. Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

1/ Other includes all other formal postsecondary training or schooling programs.

Table III
Dropout Rates 1/ of 1974 High School Graduates from First Postsecondary Program Attended as of Spring 1976 by Institutional Type and Family Income

	Institutional Type			
Family Income	Four-Year Inst. Percent	Two-Year Inst. Percent	Voc./Tech. and Other 2/ Percent	Total Percent
$0 - 5,999	10.6	23.2	19.2	16.6
$6,000 - 11,999	7.8	18.6	18.3	13.8
$12,000 - 14,999	9.4	16.4	8.5	12.2
$15,000 - 19,999	9.5	20.1	13.0	13.7
$20,000 - 29,999	7.0	18.0	16.0	11.6
$30,000 or More	6.6	16.9	7.0	9.3
Income Unknown	9.0	16.3	16.7	13.0
Total	8.1	18.4	14.5	12.5

Source: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Study B: Impact of Student Aid and Labor Market Conditions on Access to Postsecondary Education. Institute for Demographic and Economic Studies, Inc., funded by Office of Planning, Budgeting, and Evaluation, Contract #300-75-0382.

1/ A dropout is defined as a person who left before completing a program and was not attending any program at the time surveyed.

2/ Other includes all other formal postsecondary training or schooling programs.

will a student from the highest income class. A student from the lowest family income class has in general almost an 80 percent greater chance of dropping out than a student from the highest income class. It should be noted that this tendency is pronounced only in the extremes of family income. Thus, not only do participation rates vary by income rather dramatically initially, the variation has some tendency to increase over time.

Another interesting feature of the dropout rate data in Table III, however, is the variation in retention by institutional type. Students entering 4-year institutions face a much lower probability of dropping out than do students entering all other institutional types. This is true for all income classes. Thus, it is possible that part of the explanation of the relatively higher dropout rates of low-income students is the fact that they have a somewhat greater tendency to attend 2-year and vocational/technical institutions as noted in Table II.

(2) Net Price

Equality of educational opportunity may also be viewed in terms of "net price," defined as college cost minus the sum of family contribution and grant aid. By this measure equality of opportunity exists when net price does not vary significantly by parental income for students attending schools of a given cost. If this condition obtains for all income levels and at each cost level, it indicates complete financial equality of opportunity to the extent that this measure represents one's concept of equal opportunity. Financial equality of opportunity will be partial if the condition holds only for some income and/or cost levels.

In a world of no student assistance, an important source of differences in net price by income level (given college costs) is the tendency for family contribution to increase with family income. By distributing grant aid so that it varies inversely with family income, student assistance programs can equalize student resources available to overcome the principal financial barrier to access to postsecondary education. Office of Education need-based grant programs are explicitly designed to do this. As measured here, however, net price does not reflect the impact of public policy alone but the interaction of public policy and private parental decisions about how much they wish to contribute to the education of their children.

If the condition of equal net price by family income level holds for all college-cost levels, not only will equality of access be achieved but (subject to the same reservations) equality of choice as well. In this situation students choosing higher cost colleges will face higher net prices--but net prices which will not differ significantly from the net prices faced by students of higher or lower family income. Within the constraint of limited resources Office of Education grant programs are also structured to achieve this end.

(3) Empirical Analysis of Net Price

Data for first-time, full-time students are available to determine the degree to which differences in financial barriers to educational access and choice have been removed. Unfortunately data are not readily available to determine if differences in net price affect participation rates, although a currently funded study is attempting to determine how many students do not attend college because of price. The analysis below focuses on equalization of opportunity for students currently enrolled.

Preliminary data from Phase II of Studies on the Impact of Student Financial Assistance, gathered in fall 1977, show a remarkable consistency across income classes in the actual loan/work burdens (net prices) paid by first-time, full-time postsecondary students for all institutional cost levels (see Table IV), if student estimates of actual family contribution are used. This is an interesting finding given the availability of aid and the diversity [1] of distribution methods used for these programs. For example, while all Office of Education grant programs are need-based, other Federal programs such as Veterans Educational Benefits, as well as many if not most of State and institutional programs, provide grant aid on bases other than need alone.

The consistency of net price is especially apparent up to an annual family income of $30,000. (Virtually all Office of Education-sponsored grant aid is targeted on students with family incomes below $20,000.) For any cost interval, mean net price by income level at most differs by $200 and in all other cost intervals the difference is substantially less. While the absolute differences are quite small, there is nonetheless a distinct tendency in all but the highest cost category for the lowest income students ($0-5,999) to face lower net prices than do students in the family income brackets of $6,000-12,499 and $12,500-19,999.

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[1] See studies cited in program description sheets for student aid programs that follow this section.

TABLE IV

DISTRIBUTIONAL STATISTICS FOR TOTAL LOAN-WORK BURDEN
BY PARENTAL INCOME AND COLLEGE TUITION LEVELS
BASED UPON 1977 CIRP FULL-TIME FRESHMAN DATA

TUITION	STATISTIC	PARENTAL INCOME LEVEL $0-5999	$6000-12499	$12500-19999	$20000-29999	$30000 OR MORE
$0-499	PZERO	48%	37%	33%	32%	43%
	P 25	$0	$0	$0	$0	$0
	P 50	$40	$200	$230	$230	$120
	P 75	$480	$630	$640	$620	$560
	MEAN	$370	$430	$460	$480	$450
$500-999	PZERO	32%	25%	21%	27%	41%
	P 25	$0	$0	$80	$0	$0
	P 50	$330	$450	$530	$420	$170
	P 75	$840	$960	$1160	$1000	$690
	MEAN	$560	$650	$760	$680	$460
$1000-1999	PZERO	29%	25%	23%	29%	44%
	P 25	$0	$0	$40	$0	$0
	P 50	$430	$510	$580	$400	$130
	P 75	$950	$1030	$1240	$1090	$720
	MEAN	$660	$730	$800	$740	$490
$2000 OR MORE	PZERO	19%	15%	16%	22%	46%
	P 25	$190	$330	$320	$70	$0
	P 50	$850	$950	$960	$740	$100
	P 75	$1620	$1730	$1780	$1640	$760
	MEAN	$1000	$1090	$1120	$990	$520

PZERO = PROPORTION WITH ZERO
P 25 = TWENTY-FIFTH PERCENTILE OF THE DISTRIBUTION
P 50 = FIFTIETH PERCENTILE OF THE DISTRIBUTION
P 75 = SEVENTY-FIFTH PERCENTILE OF THE DISTRIBUTION
MEAN = AVERAGE OR MEAN OF THE DISTRIBUTION

*****PREPARED BY THE POSTSECONDARY PROGRAMS DIVISION OF THE OFFICE OF EVALUATION AND DISSEMINATION, USOE******

The tendency for net price to rise with income over the five lowest income ranges may be in part and perhaps entirely a result of the fact that within an institutional cost range total costs tend to rise with income. That higher income students tend to attend higher cost schools is borne out by enrollment data in Tables V and VI. In particular, notice in Table VI that 47.9 percent of the $0-6,000 income category attend two-year public institutions while only 37.2 percent of the $20,000-29,999 income group attends these institutions. Thus, the rise in net price with income within the $0-20,000 institutional cost range may be more apparent than real.

Perhaps even more remarkable than the small differences in loan/work burdens across first-time, full-time freshmen students of differing family incomes are the large percentages of students whose net prices are zero. Forty-eight percent of students in the lowest cost and income categories neither have to work nor borrow to cover any part of their total education expenses. When taking all cost levels into account even higher percentages of the highest income group ($30,000 or more) face zero net prices. The lowest income students, however, fare significantly better than middle income students in this respect. This relationship is apparent at all cost levels. The tendency for low income students to have a greater probability of facing a zero net price may also be related to their greater likelihood of attending lower cost schools within a given tuition range.

Table V

Enrollments of First-Time, Full-Time Students by Parental Income and Institutional Cost

Fall 1977

Parental Income	Institutional Costs																	
	Less than $500			$500 - $999			$1000 - $1999			$2000 - $3999			$4000 or more			All Costs		
	%	Number	%	%	Number	%	%	Number	%	%	Number	%	%	Number	%	%	Amount	%
less than $6,000	6.4	31,487	(28.4)	22.3	108,965	(21.9)	27.7	135,151	(20.4)	28.6	139,628	(16.6)	14.8	72,354	(16.8)	100	487,585	(19.2)
$ 6,000 - $12,499	4.3	19,711	(17.8)	22.6	102,579	(20.6)	30.2	137,261	(20.7)	31.3	142,502	(16.9)	11.6	52,611	(12.2)	100	454,664	(17.9)
$12,500 - $19,999	3.9	24,055	(21.7)	21.9	135,913	(27.3)	28.4	176,216	(26.6)	33.6	208,478	(24.8)	12.3	76,272	(17.7)	100	620,934	(24.4)
$20,000 - $29,999	3.6	19,438	(17.5)	18.0	96,080	(19.3)	25.8	137,246	(20.7)	36.3	193,543	(23.0)	16.2	86,419	(20.0)	100	532,726	(20.9)
$30,000 or more	3.6	16,128	(14.6)	12.3	55,171	(11.0)	17.1	76,317	(11.5)	35.0	156,465	(18.6)	32.0	142,931	(33.2)	100	447,012	(17.6)
All Incomes	4.4	110,819	(100.0)	19.6	498,708	(100.0)	26.0	622,191	(100.0)	33.0	840,616	(100.0)	16.9	430,587	(100.0)	100	2,542,921	(100.0)

Notes: (1) First percent is row percent and second percent in parentheses is column percent.

(2) Number values do not include 290,640 missing or invalid data cases.

Source: Secondary analyses of the Cooperative Institutional Research Program's 1977 Freshman Survey (Higher Education Research Institute, Los Angeles, California) data conducted by the Office of Evaluation and Dissemination/Postsecondary Programs Division.

Table VI
Enrollments of First-Time, Full-Time, Students by Parental Income, Institutional Type/Control, and Race

Institutional Type and Control

Parental Income and Race	Public						Private						Total	
	University		Four-Year		Two-Year		University		Four-Year		Two-Year			
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%
$0-6,000														
White	59,584	14.5	72,912	17.8	194,029	47.2	13,185	3.2	56,761	13.8	14,410	3.5	410,881	100
Black	7,548	6.4	44,365	37.8	46,807	39.9	1,347	1.2	13,371	11.4	3,970	3.4	117,408	100
Other	5,937	6.7	16,000	17.9	55,146	61.9	2,354	2.6	7,442	8.4	2,158	2.4	89,037	100
All Students	73,089	11.8	133,277	21.6	295,982	47.9	16,886	2.7	77,574	12.6	20,538	3.3	617,326	100
$6,000-12,499														
White	49.461	13.4	70,185	19.0	176,828	47.9	7,755	2.1	50,972	13.8	13,852	3.8	369,073	100
Black	6,877	10.1	26,907	39.4	20,693	30.0	1,553	2.3	10,008	14.7	2,237	3.3	68,275	100
Other	4,381	7.6	11,193	19.2	34,057	59.1	1,737	3.0	5,530	9.6	873	1.5	57,671	100
All Students	60,739	12.3	108,185	21,9	231,578	46.8	11,045	2.2	66,510	13.4	16,962	3.4	495,019	100
$12,500-19,999														
White	103,218	17.4	121.900	20.5	253,995	42.7	15,457	2.6	81,485	13.7	18,185	3.1	594,240	100
Black	4,366	13.3	12,233	37.3	7,759	23.7	1,253	3.8	5,988	18.3	1,162	3.6	32,761	100
Other	4,613	10.2	9,256	20.5	23,478	51.9	2,036	4.5	5,292	11.7	569	1.3	45,244	100
All Students	112,197	16.7	143,389	21.3	285,232	42.4	18,746	2.8	92,765	13.8	19,916	3.0	672,245	100
$20,001-30,000														
White	115,810	22.0	110,986	21.1	196,307	37.3	18,661	3.5	72,704	13.8	12,546	2.4	527,014	100
Black	2,519	15.4	6,004	36.8	3,273	20.1	749	4.6	3,436	21.1	334	2.1	32,761	100
Other	4,251	15.3	5,490	19.8	12,560	45.2	1,799	6.5	3,406	12.3	262	6.1	27,768	100
All Students	122,580	21,5	122,480	21.5	212,140	37.2	21,209	3.7	79,546	13.9	13,142	2.3	571,097	100
$30,001 or More														
White	111,280	24.9	74,661	16.7	130,074	29.1	34,726	7.8	85,460	19.1	10,397	2.3	446,598	100
Black	1,334	13.7	3,323	34.2	1,953	20.1	678	7.0	2,240	23.1	181	1.9	9,709	100
Other	3,537	16.4	3,023	14.0	8,841	41.0	2,184	10.1	3,708	17.2	274	1.3	21,567	100
All Students	116,151	24.3	81,007	17.0	140,868	29.5	37,588	7.9	91,408	19.1	10,852	2.3	477,874	100
All Income and All Races	484,736	17.1	588,338	20.8	1,165,800	41.1	105,474	3.7	407,803	14.4	81,410	2.9	2,933,561	100

Source: Secondary analyses of the Cooperative Institutional Research Program's 1977 Freshman Survey (Higher Education Research Institute, Los Angeles California) data conducted by the Office of Evaluation and Dissemination/Postsecondary Programs Division.

While net prices appear to be more or less equalized, given equal institutional costs, for students from families in the less-than-$30,000 income group there are still substantial differences between the lower (less-than-$20,000) and the highest ($30,000-or-greater) income group except at low tuition schools. The percentage decline in net price between the $12,500-19,999 family income group and the greater-than-$30,000 income class ranges from 48 percent within the $500-999 institutional cost category to 90 percent in the next to highest institutional cost classification. These large declines in the net price with income over the greater-than-$12,500 income range are principally a result of the fact that this income group is virtually untouched by need-based grant aid so that the large increases in family resources with income are not offset by grant aid for the lower part of the income range. 1/

Another important difference which stands out when comparing the highest income group with the others is that from the student's viewpoint, college choice can be made on almost a wholly nonfinancial basis by students with family incomes of more than $30,000. Mean net price for this income group ranges from $450 in the $1-499 tuition category to $520 (a 16 percent increase) in the $2,000-or-more category. This stands in sharp contrast to all other income categories where the percentage increase from the $1-499 tuition category to the $2,000-or-more cost category ranges from 106 to 170 percent and in absolute amounts from $510 to $660.

Even though substantial differences persist between net prices at higher and lower family income levels and among higher and lower cost

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1/ The above results on the consistency of net price (given college cost) for the lower and middle income ranges is consistent with data from the National Longitudinal Study of the High School class of 1972, published in the FY 1975 Annual Evaluation Report of OPBE. These data are also consistent with preliminary results from a 1976 follow-up of 1973 high school juniors.

institutions, it is nonetheless apparent from these data that Office of Education grant aid programs available in FY 1976 have been quite successful in equalizing net price to students currently enrolled in schools of similar cost up to an income level of $30,000. In the absence of the two largest Office of Education grant programs (BEOG and SEOG) and assuming all other sources of nonreturnable grant aid remain unchanged in amount and distribution, net price would vary substantially by income, as indicated in Table VII. A decline in net price with income occurs without exception within all cost levels and by very large relative and absolute amounts. Thus, it is clear that Office of Education grant programs have made a major contribution toward equalizing financial barriers to accessing and choosing among institutions of postsecondary education.

The data in Table IV showing the consistency of net price across income categories also suggest that factors other than financial barriers contribute to differences in participation rates among income classes. Thus, given the aid programs available in FY 1978 to most first-time lower income students, it seems clear that the problem of accessing postsecondary education may not be purely financial; in fact, an argument can be made that nonfinancial barriers may be more important. What the problem is (if, indeed, there is a problem) remains a matter of debate.

TABLE VII

DISTRIBUTIONAL STATISTICS FOR TOTAL LOAN-WORK BURDEN WITHOUT BEOG OR SEOG
BY PARENTAL INCOME AND COLLEGE TUITION LEVELS
BASED UPON 1977 CIRP FULL-TIME FRESHMAN DATA

TUITION	STATISTIC	PARENTAL INCOME LEVEL $0-5999	$6000-12499	$12500-19999	$20000-29999	$30000 OR MORE
$0-499	PZERO	13%	18%	25%	29%	40%
	P 25	$330	$150	$0	$0	$0
	P 50	$780	$620	$360	$280	$160
	P 75	$1380	$1060	$830	$710	$640
	MEAN	$920	$750	$580	$520	$480
$500-999	PZERO	10%	14%	18%	25%	40%
	P 25	$560	$290	$150	$0	$0
	P 50	$1170	$830	$650	$460	$190
	P 75	$1800	$1590	$1370	$1080	$720
	MEAN	$1210	$1000	$860	$720	$480
$1000-1999	PZERO	6%	12%	16%	26%	42%
	P 25	$730	$430	$170	$0	$0
	P 50	$1390	$950	$730	$480	$180
	P 75	$2140	$1780	$1510	$1240	$780
	MEAN	$1480	$1170	$960	$800	$530
$2000 OR MORE	PZERO	7%	8%	13%	20%	44%
	P 25	$1090	$800	$510	$140	$0
	P 50	$1840	$1590	$1260	$850	$130
	P 75	$3040	$2740	$2270	$1820	$610
	MEAN	$1920	$1680	$1400	$1120	$550

PZERO = PROPORTION WITH ZERO
P 25 = TWENTY-FIFTH PERCENTILE OF THE DISTRIBUTION
P 50 = FIFTIETH PERCENTILE OF THE DISTRIBUTION
P 75 = SEVENTY-FIFTH PERCENTILE OF THE DISTRIBUTION
MEAN = AVERAGE OR MEAN OF THE DISTRIBUTION

*****PREPARED BY THE POSTSECONDARY PROGRAMS DIVISION OF THE OFFICE OF EVALUATION AND DISSEMINATION, USOE******

In summary the data presented above exhibit a number of interesting characteristics with respect to the distribution of educational opportunities and how students respond to them. The financial aspect of educational opportunity is expressed above in terms of prices faced by first-time full-time students net of nonreturnable aid in the form of family contributions and grants. Within institutional cost ranges these "net prices" are more or less equal for all family income levels through $30,000 in 1977. Beyond this income level net prices fall dramatically as family contribution becomes ever more dominant in the net price calculation. The equalization of net price which occurs with the presence of the major Office of Education grant programs stands in sharp contrast with that which would occur in the absence of these programs. If Basic and Supplemental Educational Opportunity grants are left out of the calculation and other aid remains unchanged in amount and distribution, net price falls by large absolute and relative amounts with family income leaving educational opportunity substantially maldistributed. Thus it appears that the principal Office of Education grant programs have an important impact on equalizing educational opportunities along an income dimension.

In spite of the fact that educational opportunity in net price terms does not vary substantially by income where cost is considered, for a huge majority of the first-time full-time student population there are still surprisingly large differences in college-going rates along a family income dimension. In general low-income students are much less likely to be engaged in a postsecondary education activity than are their higher income counterparts. Most of this general variation appears to be explained by the strong direct association of 4-year college-going rates with income. The latter also apparently contributes to an explanation of dropout rates which are significantly higher for lower than for higher income students. Students at 4-year institutions are more likely to remain in school than are students at 2-year and vocational/technical schools. The systematic variation in participation and persistence rates with parental income does not appear to be related to any systematic variation in net price with income.

Improving Access, Choice and Quality Through Support of Institutions

The Office of Education also administers programs that grant funds directly to the institution. Programs such as these allow the institution to maintain and improve the quantity and quality of the educational services it provides its students without passing the full cost of these services on to students. Alternatively these programs, like the student aid programs, also help the institution reduce or hold constant, in a period of rising costs, the net price to students by reducing the net cost of instruction.

Federal institutional aid programs administered by the U.S. Office of Education make up less than 7 percent of the total OE higher education budget ($228 million in FY 1978 of a total $3.478 billion). 1/ HEA Title III, the Developing Institutions Program, accounts for one-half of this total ($120 million in FY 1978). This program is intended to affect both the short- and long-term viability of participating institutions both by promoting detailed institutional program planning, curriculum development, faculty development, and administrative practices and by providing resources to help the institution finance these programs. Generally, these programs have focussed upon institutions serving large numbers of disadvantaged students which is consistent with the larger goal of postsecondary programs of enhancing equal educational opportunity. Further, if an institutional subsidy, such as HEA Title III, has the effect of allowing an institution to maintain or increase the quality of its services while holding constant or reducing the net price students pay in the form of tuition and fees, then the impact of the program can be measured not only by its enhancement of institutional viability, but in

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1/ Excludes funds for the Special Services Program for Disadvantaged Students.

terms of access, choice, and persistence. In this regard, the two proposed HEA Title III program funding criteria include as a key factor the relative number of disadvantaged students the institution serves. Thus, the program can be said to be on target if the relative number of disadvantaged served in developing institutions exceeds those in the student population as a whole in all cases. Using Basic Grant recipients as a proxy for economically disadvantaged students, BEOG recipients, on the average, make up 28.5 percent of the student body in HEA Title III institutions compared with 17.9 percent for other 2- and 4-year colleges in academic year 1977-78.

In terms of program effectiveness, while evidence is limited as to the current level of development of program participants, few participating institutions have closed since the inception of the program. Since these institutions serve large numbers of low-income students, their demise would reduce the number of postsecondary education institutions available for those students currently enrolled in the affected institutions. This should be qualified in that these students may find other opportunities of equal or higher quality. However, evidence shows that proximity to public and private nonselective colleges influences entrance to college. Low-income students tend to live at home while attending college. The distance from home to college is strongly and consistently associated with parental income even after controlling for other student characteristics such as parental education, ability, race, etc. 2/

2/ Higher Education Research Institute, The Impact of Student Financial Aid Programs on Student Choice, Draft Final Report, 1978.

G. EVALUATION OF ELEMENTARY AND SECONDARY EDUCATION PROGRAMS

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Education of Disadvantaged Children

Legislation	**Expiration Date**
Title I of the Elementary and Secondary Education Act of 1965, as amended-Sections 103 and 126	September 30, 1978 1/

Funding History	Year	Authorization 2/	Appropriation
	1969	$ 2,184,436,274	$ 1,123,127,000
	1970	2,523,127,905	1,339,050,900
	1971	3,457,407,924	1,500,000,000
	1972	4,138,377,672	1,597,500,000
	1973	4,927,272,941	1,810,000,000
	1974	4,182,509,627	1,719,500,000
	1975	6,313,857,213	1,876,000,000
	1976	4,371,762,818	1,900,000,000
	1977	4,356,083,000	2,050,000,000
	1978	4,590,900,000	2,285,000,000
	1979	5,075,334,514	2,735,000,000

Programs Goals and Objectives:

Section 101 of P.L. 89-10, as amended states:

> In recognition of the specific educational needs of children of low-income families and the impact that concentrations of low-income families have on the ability of local educational agencies to support adequate educational programs, the Congress hereby declares it to be the policy of the United States to provide financial assistance (as set forth in this part) to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children.

1/ Extended through September 30, 1983 by the Education Amendments of 1978 (P.L. 95-561).

2/ The total authorization and appropriation levels are reflected in these columns (not just those for sections 103 and 126). In the subsequent Migrant, N or D, and Handicapped sections only their respective totals are reported.

In discussions associated with the preparation of the Education Amendments of 1974 (P.L.93-380) the Report of the House Committee on Education and Labor stated "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading and mathematics and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills".1/

Program Operations

. The Funds Allocation Process 2/

Congress appropriates funds annually to be disbursed by USOE to State and local educational agencies (SEA's and LEA's). Such disbursements are to be made primarily on the basis of the number of low income children residing in an LEA. Since income information is seldom available for an LEA, allocations are made to the county level. The formula uses two different kinds of information to compute the amount of funds to which a county is entitled: (1) poverty; plus, (2) a State's educational expenditure or effort. The poverty factors are:

P = the number of children, aged 5-17, from poor families as defined by the U.S. Census (Orshansky Index) 3/.

AFDC = two-thirds of the children from poor families receiving AFDC payments which are above the poverty line (included so as to not penalize States which raise families above the poverty line with AFDC payments).

1/ See pp. 20-21 of House Report No. 93-805. Both House and Senate discussions (see Senate Report No. 93-763, pp. 30-31) relative to the special needs of disadvantaged children recognized the importance of basic skills but concluded that State and local educational agencies should be primarily responsible for determining the means to be used to meet the needs of disadvantaged children rather than that such determination be made by Federal authorities.

2/ Allocations for the Migrant, Neglected or Delinquent and Handicapped portions of Title I are handled in a somewhat different manner. See their respective sections.

3/ This index is based on the cost of a minimally adequate diet and on the proportion of income that a low-income family spends on food relative to non-food items. It provides different estimates for age and sex of the head of the family, the number of children and adults, and according to whether or not the family lives on a farm and can be expected to produce some of its own food. Allowances are not made for the cost of living in different areas.

NDF = the number of children in institutions for the neglected or delinquent, or in publicly supported foster homes.

A State's average per-pupil expenditure (SAPPE) is used to indicate its level of effort. Forty percent of this amount is entered into the formula 1/. A county's authorization (A) is then computed as:

$$A = (P + AFDC + NDF) \times .4SAPPE$$

Because Title I appropriations are less than the sum of all county authorizations, each county is allocated a pro-rated share of its authorization (this is called ratable reduction and would not be necessary if the program was funded at its authorized level).

One of the functions a State performs is to determine how allocations will be made from the county to the LEA when their boundaries are not coterminous. Such allocations (called subcounty allocations) are to be made on the basis of data which also reflect the distribution of children from low-income families.

Once an LEA receives its Title I allocation it must rank its schools based on the estimated concentration of children, aged 5 to 17, from poverty families in each school's attendance area (i.e. both public and private school students as well as dropouts are included in the count).2/ In making this determination any or all of a number of poverty related measures can be used (e.g., Census count, AFDC, free lunch, housing, health, etc.) if approved by the State. Schools that rank above the districtwide average on the poverty measure are deemed "Title I eligible schools."

An assessment must be made of the special educational needs of children residing in the attendance areas of these eligible schools (called a needs assessment) and an LEA may provide services to all such areas or may focus on those with the highest concentrations of poor children. The guiding rationale is that the services provided must be of sufficient size, scope and quality to give reasonable promise of substantial progress toward meeting the needs of such children (called "the concentration principle").

Once these "project areas" have been identified, services that supplement the regular school program are to be provided to the most needy students, where need is defined in terms of low achievement (i.e., instructional services

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1/ For purposes of this formula, a State's per-pupil expenditure is never calculated at less than 80% of the National APPE or more than 120% of NAPPE.

2/ There are four possible variations from these ranking procedures. They are called: no-wide variance; 30 percent rule; previously eligible attendance areas; and eligibility by actual enrollment.

alone--or when combined with support services--can be provided only to their lowest achieving students). A number of requirements have been developed to ensure that Title I funds are used in a supplementary manner. In addition: the general rule is that each district and each school that receives funds is required to have a Parent Advisory Council (PAC) of which a majority of members must be parents of project children. Also, each district is required to serve needy private school students who reside in the "project area."

. Administration

A clear delineation of responsibility for the administration of Title I exists between USOE and the SEAs and in turn between the SEAs and their respective LEAs. The nature of these responsbilities is discussed in the following paragraphs.

.. Federal Responsibilities

In addition to its funds disbursement responsibilities USOE: (1) develops and disseminates regulations, guidelines, and other materials related to the administration of Title I; (2) provides technical assistance to the SEAs and periodically monitors their practices; (3) compiles fiscal, program scope and evaluation data; (4) evaluates the results and effectiveness of the program; and (5) reports annually to the Congress on the accomplishments of the program.

.. State Responsibilities

SEAs must provide assurances to USOE that their program will be administered in accordance with the law and the regulations and are required by law to submit annual fiscal and evaluation reports to USOE. In addition to their disbursement and reporting responsibilities, SEAs: (1) review and approve or disapprove the project proposed by each LEA in its annual application to the SEAs; (2) provide technical assistance to the LEAs; and, (3) periodically monitor their practices.

.. Local Responsibilities

As noted earlier, LEAs are required: (1) to identify areas and children to be served and to design projects that apply available resources to meet identified needs; and (2) tommaintain parent involvement and serve private school students. In addition, LEAs are required to submit to their SEA annually: (1) an application form describing the nature of their proposed project, how it was developed and the number of students to be served; (2) a fiscal report on the funds expended and students served; and (3) an evaluation report indicating how participants benefited from these services.

Program Scope

About 9 million children are classified as being from low income backgrounds for purposes of Title I allocation. The formula provides, in general, that each school district should receive for each child counted in the formula, 40% of the average expense of educating a child in that district's State. Because Title I is not fully funded, in 1977 districts received only 16% of the average State expenditure, rather than the 40% designated by the statute (NIE, Funds Allocation, 1977).

Title I funds represent about 3 to 4% of the total national expenditure for public elementary and secondary education. Currently all 50 States, the District of Columbia, all outlying territories (e.g., American Samoa, Guam, Trust Territory of the Pacific, the Virgin Islands, Puerto Rico, and to the Northern Marianas) and the Bureau of Indian Affairs received Title I funds. About 90% of all public school districts in the U.S. (NIE, 1976 and 67% of all elementary schools receive Title I funds (another 15% of all elementary schools receive other Federal, State, or local compensatory funds) (Hoepfner, et al., 1977). Roughly 5 to 6 million students 1/ or about 7 to 9 percent of all elementary and secondary students are provided services with Title I funds. Hence, with respect to elementary and secondary education, support for compensatory services is nearly ubiquitous with Title I playing the major role in making it so far reaching.

Program Effectiveness and Progress

Evidence now available indicates that the receipt of Title I funds is almost universal at the school district level and exceptionally widespread at the elementary school level. A remarkably high percentage of elementary schools with high concentrations of poverty students receive Title I funds although many schools with low concentrations of such students do too. The funds are used for a wide variety of instructional and support services; however, the vast bulk of the funds and students are involved in basic skills instruction in the elementary grades. These instructional services can be regarded as moderately well-focused on individual children who can be judged needy, primarily in terms of their low achievement but also in terms of their low income backgrounds. However, there are many students not now being served who can be judged needy and some who can be judged not needy but are being

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State Performance reports yield a number near 5 million while a recent NIE survey (NIE, 1976) produced a number near 6 million for all students in grades K-8 receiving compensatory services supported either by Title I or by State funds. Earlier NCES reports also yielded estimates nearer 6 million (CPIR, 1971-72).

served. With respect to reading, the evidence suggests that in elementary schools, Title I has been well-targeted on children who read poorly and Title I is probably having a positive impact. Educationally disadvantaged children usually lose ground to their more advantaged peers as they progress through school. However, poor readers who received extra attention because of Title I and similar programs tend to hold their relative positions between Fall and Spring and on some tests they gain ground. But, the extent to which such gains are sustained in subsequent years for the same students is not currently known but is being investigated. In general, then, the reading results illustrate modest success but with much work sill to be done. Little useful information is currently available on student achievement in other areas. Many of the non-instructional services provided are desirable ends in themselves (e.g., having healthy, well-fed, well-clothed children) for which Title I should receive credit for providing assistance when these needs cannot be met from other sources. However, little is known about how children benefit from these latter services.

Although the main evaluative judgements about the effectiveness of Title I should be based directly upon the services provided to participating children, the impact of the program should also be considered in a larger sense. As the major Federal program aimed at improving the education of disadvantaged children, Title I has been instrumental in drawing the attention of educators and the public to the plight of these children. Although the problems of providing an adequate education of the disadvantaged have not yielded to solution as swiftly as had been hoped, that very fact has led to further efforts. States have initiated compensatory programs, school districts have tightened up their programs, parents have become more involved in their children's education, and researchers have pursued many new approaches to learning. There is a much greater national consciousness about the education of disadvantaged children than there was 15 years ago, and Title I is certainly a central feature of this awareness. These remarks are expanded upon in the sections that follow.

In the Education Amendments of 1974 Congress raised three main concerns about the adequacy of the Title I allocation procedures and requested specific studies to be conducted about these concerns. First, reliance on data from the Decennial Census for allocation purposes meant that it could be fourteen years out of date (recognizing that the income data collected is for the preceding year and allowing three years to get the Census data properly organized for these purposes), and in such a period of time the income status of a county could change drastically. As a result, county and district allocations could be quite inequitable with respect to the real distribution of poor children. Second, the allocation procedures did not allow for the fact that it costs more to live in some areas of the Nation than in others (e.g., North-South, rural-urban, etc.). Finally, Congress discussed the possibility of changing the basis of allocations from poverty to low achievement and wondered what the implications of such a shift might be. Results now available on these concerns are discussed below.

.. How Effective are the Current Allocation Procedures

... In Reaching the Intended Counties, Districts and Schools?

Results from a recently completed study of the funds allocation process (NIE, 1977) show that: (1) as the number of formula-eligible children in a county increases, the average Title I allocation to the county rises consistently -- an indication that the formula accomplishes the intent of the legislation; (2) district allocations reveal patterns similar to those observed at the county level. These patterns are not identical to those observed at the county level because the use of data in ways other than that emphasized by the Federal formula was shown to alter the county level allocation patterns (e.g., sole reliance on AFDC data as compared with the number of children from poverty plus two-thirds AFDC). As much as 16% of the Title I funds in some States would shift among districts if the Federal statutory formula were substituted for current state sub-county allocation procedures. However, even though sub-county allocation practices are near universal, involving 46 States, data directly comparable to that used in the Federal formula may not be obtainable at the sub-county level; Title I funds supplement regular district expenditures to a greater extent than any other Federal or State financial assistance program (NIE, 1977). Two earlier studies also indicated that Title I allocation procedures provided additional funds to school districts with the greatest financial need (Berk and Kirst, 1972; Johns, et al., 1971).

A survey of 100 Title I districts showed that they used their Title I funds to provide services in 90% of their Title I eligible schools (NIE, 1976). A recently completed survey of over five thousand U.S. public elementary schools showed that two-thirds of them received Title I funds while another 15% received compensatory funds from other sources (OPBE, 1977; Hoepfner, et al., 1977). This survey also showed that: (1) 90% of the schools with over half their students from poverty families received Title I funds; (2) 79% of the schools with from one-fifth to one-half of their students from poverty families received such funds; and, (3) 53% of the schools with one-fifth or fewer of their students from poverty families receive, et al., 1977). Such results indicate that in terms of the receipt of funds (the actual amounts received were not examined) Title I funds are targeted to a remarkable extent on schools with high concentrations of poverty students. On the other hand, it is not clear why so many schools with low concentrations of poverty students receive Title I funds. A number of explanations are possible. First, for those school districts that have poverty children fairly evenly spread across all their elementary schools, each school would receive Title I funds, under the no wide variance provision even though the percent of that school's students from poverty families was fairly small. If there are many such districts, they would have a substantial effect on these totals (only 37% of all Title I districts engage in the selection of target areas, hearings, Part 16, 195-7). A second reason may be that out-of-date income information (i.e., census data collected almost six years earlier) was used to make the county-level allocations although the district may now have fewer areas with high concentrations of poverty students to be served than in earlier years. Third, the current concentrations of funds per pupil may be of a magnitude that enables services to be provided in schools with low concentrations of poverty students as well as in the more heavily concentrated schools. Finally, the funds allocation study (NIE, 1977) suggested that too many schools were receiving Title I funds. This was due, it conjectured, to a district using a number of different poverty measures (e.g. percent of students in free lunch program, percent of students from families receiving AFDC, etc.) and qualifying a school as Title I eligible if it ranked above the district-wide average on any one of them. Since these different measures are not perfectly related, more schools would be designated as Title I eligible than if any single measure or a composite of all of them were used. (It should be noted that these conjectures advanced by the NIE study are not borne out in State/local program reviews conducted by USOE's Title I staff).

... In Reaching the Intended Students?

There is an assumption in the Title I legislation (see the first page of this report) that where high concentrations of poor children can be found there too can be found a high incidence of children with special educational needs. Results from a recent study have shown that children from low income backgrounds are much more likely to be low achievers than are children from more affluent backgrounds. Further, when low income children are concentrated in one locale the sheer fact of their concentration and their lower achievement on an individual basis gives rise to a high incidence of low achievement (OPBE, 1978a; 1978b; Breglio, et al., 1978). Such evidence gives firm support for the assumption on which Title I is founded. However, this does not mean that low achievementis found only where there are concentrations of low income children for, as the study also showed, a moderate incidence of low achievement can be found where there are very small concentrations of low income children (OPBE, 1978b).

The individual children intended to be served by Title I are the most educationally needy children residing in those attendance areas selected for services (called project areas). This same study cited above showed that in schools receiving Title I funds services were moderately well focused on individual children who could be judged needy, primarily in terms of their low achievement but also in terms of their low income backgrounds (OPBE, 1978a, 1978b). However, there were many students who could be judged needy that were not selected for services and some who could be judged not needy who were being served. It was suggested that the focusing of services on needy students could be improved by: (1) establishing and maintaining a uniform, current data base for allocations to the county and district level and for project area selection; (2) tightening up intradistrict allocation procedures to the extent possible; (3) expanding the program to serve greater numbers of needy students; and (4) tightening up intraschool student selection procedures to the extent possible.

.. How Would the Current Allocations Change

... With More Recent Data?

In the Education Amendments of 1974 (P.L. 93-380) Congress mandated a study to update the count of children, aged 5 to 17, from poverty backgrounds and to ascertain the implications of this more recent data on the amount of money allocated to each State. The results of this study (Miller, 1977) showed that between 1969 and 1975 the number of such children declined from 7.9 million to 7.1 million. However, because of an overall decline in the birth rate, their proportion relative to all children of that age group, remained at 14.5 percent. Changes in the incidence of poverty among states did occur. In the southern States the incidence of poverty declined or remained the same (except Florida) while it increased in most of the large industrial states in the Northeast and Mid-West. As a consequence of using this more recent income information to make allocations, sixteen States would lose one-fifth or more of their current allocation while eight others would gain by amounts in that same range. With the advent of the mid-Decennial census in 1985, allocations can be made with income information that will be at its worst only seven to eight years out of date rather than the current fourteen-year figure.

... With Allowance for Cost of Living?

In the Education Amendments of 1974 Congress also mandated a study to find ways of improving the accuracy and currency of the present measure of poverty used in the formula that allocates Title I funds. Alternatives to the current measure of poverty were considered. Some would have raised the count of families in poverty while others would have lowered it. However, the implementation problems associated with any change in the current definition would have been so great that no changes were recommended (DHEW, April 1976). For purposes of Title I allocations other factors in the formula (State's per pupil expenditure rates, size of AFDC populations, and "hold harmless" provisions) as well as the recency of the poverty data used also figured importantly in the allocation process and could mute any distributional changes introduced by an altered definition of poverty. Another study examined changes in the count of families in poverty introduced by taking into consideration their recipt of other kinds of income (e.g., social security, unemployment insurance, AFDC, food stamps, etc.). It showed that the numbers counted were reduced by about one-half to three-fourths depending upon the nature and number of "transfer payments" considered (Congressional Budget Office, 1977).

... With a Shift to Achievement Criteria

Among the many studies mandated by Congress in 1974, two related specifically to the provision of funds and services based on achievement criteria. The first study examined alternative ways for distributing funds on the basis of eduational disadvantagement while the second study described the effects of demonstration projects in 13 school districts, some of which were allowed to use student achievement measures to identify schools and students to be served with Title I funds. The first study concluded that: (1) there was not currently an adequate source, or combination of sources, of achievement data to allocate Title I funds among the 50 States or within all States to their school districts; (2) a national testing program to provide such data could be designed and put into effect -- one that would allow funds to be allocated to each school district in the country would cost a minimum of 53 million dollars over a three year period; and, (3) a change from poverty to achievement eligibility criteria would probably have a significant effect on Title I funding for many States but would not affect the relative amount of money received by each of the four Census regions (NIE, Using Achievement Test Scores to Allocate Title I Funds, 1977).

In the second study most of the demonstration districts changed from the use of poverty measures to the use of achievement measures to identify their Title I eligible schools. As a result of such changes the districts: (1) served substantially more schools and students; (2) served proportionately fewer poor and minority students even though the absolute numbers of such students served were greater because of the greater number served overall; (3) reduced the amount of compensatory services they provided to each child even though they retained the same teaching staff and size of their instructional groups; and, (4) although the reduction in instructional time experienced by each compensatory student was small relative to the larger numbers of students served, this reduction was kept small by the use of other funds available to the districts -- funds which would likely not be available in the future with the result that the reduction in intensity of services might even be greater in later years (NIE, Demonstration Studies, 1977).

. Who are the Recipients of Title I Supported Services?

Title I services are concentrated most heavily in the early elementary grades. Of the public elementary students in grades 1-6, 15% are selected to receive services from Title I while another 10% are selected to receive compensatory services supported by other Federal, State and local sources of funds (OPBE, 1978). In those districts that receive Title I funds (viz., those that have both elementary and secondary grades), 20% of their students in kindergarten through the eighth grade receive instructional services supported by Title I (NIE, Compensatory Education Services, 1977). In contrast, less than 1% of the secondary school students in these districts receive Title I services. Only 43% of the Title I districts that contain private school students provide Title I services to them -- as a result, only about 4% of the private school students receive Title I services (NIE, Compensatory Education Services, 1977).

Many students who can be judged in need of compensatory services remain unserved while some students who can be judged less needy receive services. For example one half or more of all the low achieving public elementary school students in grades 1-6 do not receive any form of compensatory assistance and this tends to be so whether they are from low income backgrounds or not.1/ In contrast, at these same grade levels, from 8 to 16 percent of the 3 million students who are selected for Title I services can be judged less needy (viz. are non-low achieving students although many of them are from low income backgrounds) (OPBE, 1978). Other results have shown that one-third of the students considered needy by district criteria were not served (NIE, Compensatory Education Services, 1977).

Students who are selected for Title I services are predominantly low achievers. Eighty-four percent of such students are below the 50th percentile in their achievement status (OPBE, 1977). For compensatory reading, students who receive services rank at about the 20th percentile on the average on national reading test norms at grades 2, 4 and 6 (OPBE, 1976). This can be contrasted with a 24th percentile ranking for students in State and locally funded compensatory projects. Non-recipient students in Title I schools rank at about the 46th percentile on the average on these same norms while similar students in schools with State and locally funded compensatory projects rank at about the 53rd percentile. Hence, Title I provides services to the poorest readers when compared either with other students in the same schools or with students in state and locally funded projects/schools.

About two-thirds of the students selected for Title I services are from poverty or near poverty backgrounds (viz. are below 200% of the current poverty index) (OPBE, 1977). (This does not mean that most poor or near poor students are selected for services; rather that of those selected for services, most are poor or near poor). About 54% to 60% of the Title I recipients are white (NIE, 1976; OPBE, 1976); another 35% are black with the remainder being predominantly Spanish-surnamed (NIE, 1976). Proportionately more boys than girls and slightly more students from non-English speaking than from English speaking homes are selected for Title I services (Breglio, et al., 1978).

. **What Services Do Title I Funds Provide? 2/**

Information from a recent NIE supported National survey of 100 school districts indicated that the national average Title I per pupil expenditure was $347 for the 1975-76 school year (NIE, 1976) with poor districts spending less per participant than wealthier districts. [Such results are due to the

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1/ These figures pertains to all such students not merely those residing in Title I recipient school districts or in Title I eligible attendance areas.

2/ In Section 437 of the General Education Provisions Act as amended by Sec. 512 of P.L. 93-380, Congress directed USOE to collect from each State, annually, information on each federally funded, State-run program (of which Title I is one) pertaining to how the funds were used and aggregate data on the numbers of recipients. Some preliminary information has now become available (Uses of State Administered Federal Education Funds, DHEW/OPBE, 1978) and will become more complete and precise in subsequent annual reports.

proportionately greater numbers of their students that poor districts serve].

Seventy-six percent of the Title I per pupil dollar is used to provide instructional services with the poorer districts spending a smaller proportion on such services than the wealthier ones (NIE, 1976). One explanation for these latter results is that the wealthier districts already provide support services (e.g., medical, dental, counseling, etc.) whereas the poorer districts don't and must therefore resort to the use of Title I funds for such purposes.

Reading and language arts instruction is the area of activity most frequently supported in virtually all district Title I projects (95% of the districts). Other high incidence areas of support are mathematics instruction (45%) and preschool/kindergarten readiness activities (38%).

In the area of support services a distinction can be made between those directly supportive of instruction and those that are more indirect in nature. In the former category one-fourth to one-half of the Title I districts used some of the funds for libraries and/or resource centers. For the latter category, the most frequently cited activities are: medical/dental (20%); psychiatric diagnostic (19%); transportation (15%); food (14%); speech and hearing therapy (14%); and social work (12%). Forty-one percent of the districts do not provide any support services. But among those that do provide such services slightly more than three-fourths of them provide these services in two or more areas.

. In What Ways Do Title I Students Receive Their Services?

A typical compensatory education student spends 5 1/2 hours per week in compensatory instruction -- an amount which represents one-fifth to one-fourth of his/her total school time available for instruction. The teacher will tend not to be from a minority group (77% are white), will have a bachelors degree or better (97% have a B.A. plus work beyond) and will be a permanent employee of the school system or will be on a renewable contract (83%) (NIE, 1976).

About 50% of all compensatory students receive remedial reading instruction. This figure climbs to 82% if language arts projects with a reading component are also included. Some 44% of compensatory students receive assistance in mathematics. Since these areas involve such substantial proportions of compensatory students,some discussion will be devoted to them in the following paragraphs (NIE, 1976).

.. Remedial Reading

Remedial reading is most frequently offered in the elementary grades (1 through 6) and is seldom supported by Title I after grade 8 (fewer than 10% of the districts do so). About 85% of the students receive their instruction in a pullout program (viz.,they leave their regular classroom). They tend to receive this instruction from some combination of their regular classroom teachers (53% of such students), a reading specialist (75%), and a teaching aide (almost 50%). To receive such instruction most students did not miss any other subjects (43%) or missed only their study time (16%). The remainder missed reading and language arts instruction or a variety of other subjects (e.g., social studies, science, art, etc.). Remedial reading instruction comprises from 12 to almost 17 percent of a student's time available for instruction and is typically offered in small groups of from seven to twelve students involving what would appear to be a high degree of individualization of instruction (NIE, 1976). These results suggest that compensatory reading instruction tends to be given with a greater intensity during that portion of the day normally allotted to reading instruction rather than being offered in addition to the regular reading instruction time.

.. Compensatory Mathematics Instruction

Compensatory instruction in mathematics is also focused on the elementary grades with the greatest incidence occurring in grades four through six. Slightly less than two-thirds of the students receive their instruction in "pull out" programs from some combination of their regular classroom teacher (74% of such students), a compensatory math specialist (49%), a teaching aide (62%), and another student (23%). To receive this instruction most students did not miss any other subjects (54%), or missed only their study time (10%) or regular math instruction (9%). The remainder missed a variety of other subjects (e.g., social studies, science, music, art, etc.). The typical compensatory math student receives three hours of instruction per week (which represents about ten to fifteen percent of the time available for instruction) with such instruction most likely to occur in groups of fewer than fourteen students in grades one through four and fewer than ten students in grades five through eight. Such instruction appears to be given in a highly individualized manner (NIE, 1976). These results suggest that like remedial reading, compensatory math tends to be offered with greater intensity during the time ordinarily allotted to math instruction.

.. Summer Programs

Although the students in 51% of all elementary schools have access to a summer program, such access is slightly less likely in schools that receive Title I funds than in schools that do not receive such funds (47% for Title I versus 60% for schools not receiving these funds; Hoepfner, et al., 1977). However, among schools that have summer programs, schools that receive Title I funds have a much greater incidence of compensatory programs than do the other schools.

.. Auxiliary Services

Very little is known about the ways in which compensatory students receive auxiliary or non-instructional services. NIE found that such services represent a very small part of the Title I effort (Compensatory

Education Services, 1977). Only 4% of Title I funds are spent on such services nationally and very few districts devote more than 10% of their budget to support such services. Parent involvement activities, including parent advisory councils, account for the largest portion of this total, while expenditures for libraries, health services, counseling, transportation, etc., have decreased in recent years (NIE, Compensatory Education Services, 1977).

In contrast to the above areas, very little is known about the nature and effects of Parent Advisory Councils or about the need for and provision of services to students in the higher grades.

.. How Do Students Benefit from Their Services?

As noted in previous sections, Title I funds are widespread and local projects encompass a number of objectives and provide services in a variety of areas. Such diversity indicates that the program does not lend itself to a single summative question, such as "Is Title I Working?" A more appropriate framework is: "How well is Title I working with regard to each of the many areas it supports?" Many areas do not readily lend themselves to an assessment of their benefits (e.g., counseling and speech therapy) while others are desirable ends in themselves (e.g., having healthy, well-fed and well-clothed children are desirable ends for which Title I must receive some credit for providing assistance when these needs are not met by other sources). The single area of greatest emphasis has been instruction in basic skills at the elementary level with a substantial portion of this effort devoted to reading. Given the current programmatic emphasis of 76% of the Title I dollar spent on instructional services and 82% of the students participating in a reading or a language arts project that involves reading (NIE, 1976), it seems fair to regard improvement in reading skills as one of the primary indicators of program effectiveness, especially in the elementary grades. Indeed, most of the evaluative evidence in the State and local evaluation reports is comprised of reading test scores.

There are two main sources of information on the effectiveness of reading projects: (1) national studies sponsored by USOE and (2) State and local evaluation reports. Evidence from each source will be discussed in the following paragraphs.

.. Evidence on Reading Improvement from National Studies

Early national evaluations of Title I depended upon the availability of performance information at the local level. Since local information was often unavailable or was not compatible with that from other locales, aggregations for purposes of national analyses could not be made. The absence of any positive information on the aggregate effect of the program was regarded by some as evidence that it was not working. However, results from a recently completed study of children in grades 2, 4 and 6 of a national sample of elementary schools in which common achievement measures were administered at common times in the Fall and Spring, showed that the Title I program was having a positive impact on student improvement in reading (OPBE, 1976). Specifically, the results showed that:

- In schools that offered compensatory assistance in reading the most educationally needy students, as indexed by their depressed reading test scores, were the ones who received such assistance.
- Students in compensatory projects received more services than non-participants, and the amount of such services depended upon the setting for reading instruction (individuals in small instructional groups received more services than those in large ones).
- Students who received compensatory assistance in reading tended not to fall behind their less needy, unassisted peers in their reading skill performance during the school year. For some of the achievement tests, compensatory students were closer to non-compensatory students in their reading test performance in the Spring than they had been in the preceding Fall.
    - Compensatory assisted students tended to develop favorable attitudes toward themselves as readers and toward their reading activities to a degree that was equal to or greater than that of their less needy, unassisted peers.
    - These results can be contrasted with those from earlier studies which showed that disadvantaged students fell progressively further behind in their reading performance and became increasingly more fatalistic about their ability to improve their life circumstances through education.
    - However, a clear relationship between the level of resources utilized and student improvement in reading was not discerned. Rather, given the existing range of resources, the ways in which they were utilized appeared more important than the sheer amount (e.g., the use of instructional aides for instructional activities rather than for clerical or custodial functions).
- Five compensatory projects were identified as unusually effective in terms of the reading improvement of their students during the school year and independently by the judgment of trained observers.
    - All had defined reading as an important instructional goal, had assigned it priority among the school's activities, and had manifested this commitment by expending more time on reading or on having a better quality of reading resources.

.. In all five there was a key person who provided guidance and direction in reading.

.. There was careful attention to basic skills (including reading).

.. There was evidence of interchange of ideas among staff members.

.. The average cost of the five unusually successful projects was about the same as that of the average of all the other projects. [These results can be contrasted with those from two other studies (the Emergency School Aid Act Evaluation, Coulson, et al., 1975 and the California Title I analyses, Tallmadge, 1973), which showed a modest positive relationship between supplementary expenditures and student improvement in basic skills].

Another study by NIE examined the relative effects of: pullout and mainstream instruction; individualized instruction; and, the importance of the content and intensity of instruction on the growth in reading and mathematics skills during a single school year of a select sample of first and third graders (NIE, Effects of Services on Student Development, 1977). On the average, the sample students made large positive gains which considerably exceeded those observed in other evalaution studies. First graders made their greatest gains when they received their instruction in their regular classrooms. In contrast, third graders made their greatest gains in mathematics when they were in pullout settings separate from their regular classrooms. However, third graders' gains in reading were the same for pullout and regular classroom programs. Students in individualized instructional programs made substantial achievement gains but these gains were no higher than students in less individualized classrooms. Overall, when instruction emphasized the exact skills on which achievement gains were measured, student gains were especially large. Finally, the amount of time spent in instruction was particularly important for students in pullout programs (NIE, Effects of Services on Student Development, 1977).

.. Sustained Benefits

Very little is known about the extent to which benefits that accrue to a student by virtue of his compensatory assistance are sustained over the summer months and in subsequent years, especially after he/she no longer receives such assistance. (This is the topic of a current major evaluation study).

... Summer Growth

Just how much growth occurs over the summer months remains in doubt. Some evidence shows considerable loss over the summer months for Title I students in selected sites who did not attend a summer program (Pelavin and David, 1977), while other evidence, some of a preliminary nature, suggests that, on the average, losses do not occur over the summer for compensatory students (SDC, Hoepfner, 1978; Hemenway and Ozenne, 1977; the latter study was focused on ESAA students). Still another study has shown that disadvantaged students who attended summer school did not exhibit a loss. However, summer attendance was voluntary; the most severely disadvantaged students did not attend; and student instructional cost was two and one-half times greater during the summer than during the regular school year (OPBE, 1976).

.. Evidence on Reading Improvement from State and Local Reports

Most annual State Title I evaluation reports continue to show a number of serious shortcomings which precludes their usefulness in making statements about the achievement benefits of project participants 1/ at the State level. For the small number of States for which impact data could be relied upon (about 17) student participants manifested growth equivalent to or greater than that of the average student (Thomas and Pelavin, 1976; Gamel, et al., 1975).

- However, as evidenced also in the national studies, the Fall test scores of students at successive grade levels suggested that these gains may not be cumulative across the years (such results may be due in part to skill losses over the summer months; the attempt of the program to serve the most educationally needy students in Title I schools each year; and the use of an incorrect reporting metric).

Searches for effective projects at the local level have shown faulty evaluation practices to be so widespread that no conclusions can be reached concerning the reading improvement of the participants of most projects 2/. However, the preponderance of compensatory projects that survived the rigorous screening procedures used in these search efforts were Title I funded (Bowers, et al., 1974; Tallmadge, 1974).

.. Ancillary Evidence on Reading Improvement

Recent evidence from the National Assessment of Education Progress indicates that in 1975 nine-year-olds performed better on a set of reading

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1/ A recent GAO study was found to suffer from these same shortcomings GAO, 1975).

2/ This situation will be improved, however, as the use of standard evaluation models becomes more widespread. (See the Appendix for information about the Title I evaluation models and technical assistance efforts.

tasks than did their counterparts of four years earlier (NAEP Newsletter, October 1976). The greatest improvements during this period were made by minority students, by students whose parents did not have a high school education, and by students residing in the Southeast. However, children in these first two categories were still substantially below the national average. Noticeable gains were not made for the older age groups (13 and 17 year olds) although the seventeen year olds did show some improvement in handling basic literacy reading tasks (NAEP Newsletter, December, 1976). For a comparable time period (1970-1974) the nine year age group also showed improvement in their writing skills whereas the older age group (13 and 17 year olds) actually declined (NAEP Newsletter, December, 1976). Since the bulk of Title I supported activities are concentrated in the early elementary grades and involve reading and language arts, such improvements may reflect, in part, the effects of these activities.

No evidence is currently available on student improvement in other instructional (e.g., mathematics) or support areas or on how students benefit from their compensatory assistance in basic skills instruction over a period of years. However, such information will become available in succeeding years from a recently initiated study (see Hoepfner, et al., 1977 for more detailed aspects of this study).

. Progress in Improving Program Administration

The administrative effort to ensure that Title I funds are used as Congress intends involves considerable sums of money and numbers of people and their time. The administrative effort is smallest at the Federal level, which spends less than $5 million dollars a year and employs nearly 100 people in the U.S. Office of Education. States employ approximately 1,000 persons in their Title I offices, and the 50 States received 20 million dollars in Federal funds in fiscal year 1976 to cover administrative costs. The 14,000 school districts receiving Title I funds spent approximately 120 million dollars on administration in fiscal year 1976, quite apart from their expenditures for services to disadvantaged children (NIE, Administration of Compensatory Education, 1977).

Although good management practices may be a precondition of program accomplishment, those that are critical to success may be elusive. In the paragraphs that follow a brief overview is given of those practices that are deemed necessary for an understanding of how program improvements have been and can be induced.

.. How Does USOE Aid the States?

USOE engages in a number of activities intended to help the States improve their program management capabilities. One major activity is the State Program Review. A USOE team visits two or more local districts in a selected State to examine the ways in which they conduct the program and the kind of guidance the local has received from its State office. Any guidance materials the State may have developed for its locals are examined by the team prior to its visits. At the conclusion of its visits, the team has an exit interview with the Chief State School Officer to explain its recommendations. Later, a letter is sent to the State requesting a formal response to the recommendations.

Usually, a team is composed of four members who spend about a week in a State with each State being subject to such a review annually.[1] A variety of technical assistance activities are also utilized by USOE to upgrade State capabilities. The Program Support Package is used to explain to States in a simple and clear manner, using graphic illustrations, how a particular requirement should be handled (e.g., parent involvement). Each such package is then made available to a State for use with its locals. Handbooks are also developed and made available to States and locals; national and regional meetings or workshops are held on timely subjects of interest to the States; and on occasion special projects are sponsored that are of mutual benefit to the States and their locals (e.g., a self-analysis instrument for a State or local to use in reviewing its own management of Title I). In addition USOE provides technical assistance to States and locals in evaluating their projects[2] and provides a major role in dissemination of effective projects. Exemplary projects are nominated by their States and, after screening for compliance, are submitted to the Education Division's Dissemination and Review Panel for an objective appraisal of the adequacy of their evidence. If approved by the panel the projects are disseminated to other States and their locals, in turn, via publications (see "Programs That Work" in the List of References) and other publicity devices. Some are packaged in a detailed way so that they can be more readily duplicated by adopting sites (for more details of this latter effort see the section on Packaging and Dissemination).

Title I rules and regulations have been found to be legally and logically consistent (NIE, Administration of Compensatory Education, 1977). However, the lack of clarity in the language used often leads to misinterpretations. Further, OE has not used consistent standards in identifying violations of these rules and has not provided clear guidance to the States about their administrative responsibilities. As a result, States and districts are confused about the exact meaning of their obligations (NIE, Administration of Compensatory Education, 1977). OE is trying to remedy these problems by developing a policy manual to aid in interpretations, expanding the Title I staff and increasing their monitoring activities, elevating the program in OE so that it has to clear fewer administrative layers, and expediting audit resolutions.

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[1] The DHEW Auditors also serve a compliance function through their periodic audits of State and local activities.

[2] See the Appendix of this report for progress being made in upgrading State and local Title I evaluation capabilities under Section 151 of Title I as amended by P.L. 93-380.

Finally, in fulfilling its annual reporting requirements to the Congress, USOE attempts to utilize information from the State evaluation reports as well as conducting its own national evaluations. In any given year, for this latter activity OE spends about two-tenths of one percent of the total Title I funds appropriated.

.. How Do the States Aid Their Locals?

In addition to their sub-county allocation responsibilities, States review local project applications for compliance with the law and regulations and monitor how the projects are carried out. Ideally a district would be visited at least once per year by its State representative(s) for monitoring purposes. Currently States are allotted one percent of their total allocation or $150,000, whichever is greater, to perform administrative activities in their States.[1] For many States this amount is only adequate enough to support annual visits to their largest districts or those suspected of having problems, with the remainder being visited about every other year. In their monitoring role States also perform a dissemination function with regard to exemplary projects and practices.

The NIE study of State administration found that States varied widely in how they administered Title I (NIE, Administration of Compensatory Education, 1977). For example:

- On the average States sent seven general information mailings to each of its Title I districts in fiscal year 1976.
    - However, some States had no mailings while others reported as many as 30.
- The average number of conferences a State held to provide assistance to its districts was 22 (also for fiscal year 1976).
    - However, some States held no conferences while another reported 500 such conferences.
- States averaged approximately 125 individual visits to its Title I districts (also for fiscal year 1976).
    - However, one State reported none while another reported over 1000 such visits.

This enormous diversity was attributed to two factors: (1) a lack of clarity in the Federal legal framework about precisely what States are supposed to do; and (2) substantial variations among States in the staff they have available to administer the program and in the size of their workload (NIE, Administration of Compensatory Education, 1977). On the average, 18 staff members per State were involved in Title I administration with the range extending from a low of 3 to a high of 101 (about 61% were professional staff). The Federal formula for distributing administrative funds takes only the size of a State's Title I grants into account. However, the magnitude of this amount relative to the number of districts a State must oversee sets limits on the extent of State activity. For example, States with a few large districts can devote more funds to the administration of those districts than can a State with many small districts. The amount available to a State per district ranges from a low of $343 to a high of $13,060 with an average of $2,692.

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[1] This includes the Neglected or Delinquent, Migrant and Handicapped portions of the program as well.

State staffing assumes a degree of importance because, as the NIE study also showed, those States identified as having administrations of poor quality had lower staffing levels than would be expected given the size of their set-asides, the proportion of population that was urban, the number of Title I districts, and their organizational characteristics (Administration of Compensatory Education, 1977). Finally, a study of selected cases showed that: (1) the greater the efforts a State made to clarify, record and disseminate regulations, the less likely its districts were to experience compliance problems; and (2) the degree of personal interaction and amount of time spent between State Title I officials and local district personnel appeared to be strongly related to the general quality of local district administration. However, an automatic increase in the State set-aside would not necessarily lead to an increase in expenditures on staff relative to other costs, NIE concluded (Administration of Compensatory Education, 1977).

.. How Do Local School Districts Fulfill Their Responsibilities?

Results on many aspects of the conduct of local projects were discussed in prior sections (e.g., allocations, needs assessment, targeting, services offered, etc.). Also noted were requirements for locals to utilize Parent Advisory Councils (PACs), to serve non-public school children residing in the attendance areas of target schools, and to evaluate their project annually.

The 1974 Education Amendments (P.L. 93-380) required some major changes in Title I parent involvement. It added the requirement for building level councils in addition to the district council and stipulated that council members are to be selected by parents. A total of 79,841 parents of children participating in Title I activities were involved in district level advisory committees during the 1972-73 school year. A comparable figure for school level advisory committees is 81,451 parents. However, the greatest level of involvement was at the Title I project level with 473,436 parents being involved in project related activities. (National Center for Educational Statistics, CPIR, 1973; note these data were obtained prior to the 1974 requirements). At the present time very little is known about the nature or conduct of these councils.

If a school district is unable or unwilling to provide services to nonpublic school students residing in eligible attendance areas, USOE can contract for the provision of services using funds from the district/State allocation. This "by-pass" provision has been invoked in two States.

In order to fulfill their annual evaluation and reporting responsibilities local districts spend on an averabe about 6.4 percent of their total project grant (GAO, 1977)for such purposes -- a figure which may change once the new Title I evaluation and reporting models are put into effect.

Ongoing (O) and Proposed (P) Projects

1. A Study of the Sustaining Effects of Compensatory Education of Basic Skills (O)

This study has two major purposes: (1) to obtain information on the numbers of economically and educationally disadvantaged students who do and do not receive compensatory services; (2) to report on the benefits they derive from such services in terms of their cognitive skills during more than one academic year and to isolate those sequences of services that were most beneficial.

2. National Institute of Education Studies of Compensatory Education (O)

Examines a broad range of issues related primarily to Title I management, funds allocation, and provision of services.

3. A Study of Parental Involvement in Four Federal Education Programs (ESEA Title I, ESAA, Bilingual, and Follow Through) (O))

This study will examine both formal and informal modes of parent involvement in general school activities and as they relate to one's own children. It will describe the ways in which Parent Advisory Councils (PAC's) are formed and utilized, how much they cost and what impact they have on various aspects of the projects as well as on parents of students participating in the project or attending the project school. It will also examine the ways in which multiple PAC's are handled at schools that have projects funded by two or more of the programs. Model approaches to effective parent involvement will also be identified.

4. A Study of the National and Effects of Compensatory Needs Assessment Procedures (P)

This study would examine the ways in which districts carry out their ranking and needs assessments; how they decide on what services to provide and who is involved in these decisions; the numbers of economically and educationally disadvantaged students (both elementary and secondary, public and non-public) who do and do not receive compensatory services, the nature of such services, the extent of unmet needs and the costs of providing for them, the continuity of such services across the grade levels, and the benefits that students derive from their services during one school year. Special cases whould be included that typify practices of interest (e.g. public/non-public; secondary efforts, etc.). Title I emphases or requirements that have been adopted by local districts would also be examined.

For further information about program operations,

Contact: Richard Fairley, (202) 245-2722.

For further information about studies of program effectiveness,

Contact: George W. Mayeske,(202) 245-8857.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Title I, ESEA, Program for Migratory Children of Migratory Agricultural Workers and Migratory Fishermen

Legislation:	Expiration Date:
Title I of the Elementary and Secondary Education Act of 1965, as amended	June 30, 1983

Funding History	Year	Authorization	Appropriation
	1968	$41,692,425	$41,692,425
	1969	45,556,074	45,556,074
	1970	51,014,319	51,014,319
	1971	57,608,680	57,608,680
	1972	64,822,926	64,822,926
	1973	72,772,187	72,772,187
	1974	78,331,437	78,331,437
	1975	91,953,160	91,953,160
	1976	97,090,478	97,090,478
	1977	130,909,832	130,909,832
	1978	145,759,940	145,759,940
	1979	173,548,829	173,548,829

Program Goals and Objectives

Title I of P.L. 89-10, the Elementary and Secondary Education Act of 1965, authorized a national education program for disadvantaged children. Section 101 of that law, as amended through the 94th Congress, 1st session, states, in part:

> ...the Congress hereby declares it to be the policy of the United States to provide financial assistance (as set forth in this part) to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children.

In November 1966, Title I of ESEA was amended by P.L. 89-750 to incorporate special provisions for migratory children of migratory agricultural workers. The new program provided for grants to State educational agencies (SEAs) or combinations of such agencies to establish or improve, either directly or through local educational agencies (LEAs), programs and projects designed to meet the special educational needs of migratory children of migratory agricultural workers. P.L. 89-750 also provided that grant monies were to be used for interstate coordination of migrant education programs and projects, including the transmittal of pertinent information from children's school records. Section 101 of Public Law 93-380 (the Education Amendments of 1974) further amended Title I to include migratory children of migratory fishermen.

In discussions associated with the preparation of the Education Amendments of 1974, Congress emphasized "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading and mathematics and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills." 1/

Interim final regulations (Federal Register Volume 42; No. 134; p. 36076) for the migrant education program emphasize the same point with the inclusion of the following criteria for the approval of State applications (section 116d.39 (b)): "Services to be provided show reasonable promise of meeting the special educational needs of migratory children... particularly with respect to improvements in the educational performance of children in the basic programs of instruction." In addition, section 116(d)(a) of the regulations states: "health, welfare and other supporting services may be provided, but only to the extent necessary to enable eligible school-age and preschool children to participate effectively in instructional services."

In May 1971, the State Migrant Education Coordinators adopted eleven national goals formulated by the Committee for National Evaluation of Migrant Education Programs. Although these goals do not constitute a clear-cut, easily implemented list of objectives toward which migrant programs can be directed, they do provide some indication of the types of instructional and supportive services which migrant programs are expected to provide, and may serve as a basis for a more measurable set of objectives in the future.

Instructional Services

1. Provide the opportunity for each migrant child to improve communications skills necessary for varying situations.

1/ See pp. 20-21 of House Report No. 93-805). Both House and Senate discussions (see Senate Report No. 93-763, pp. 30-31) recognized that such an assertion was not intended to preempt the prerogatives of local authorities to give priority to other areas (e.g., teacher training), if such emphases were required to better meet the needs of disadvantaged children.

2. Provide the migrant child with preschool and kindergarten experiences geared to his psychological and physiological development that will prepare him to function successfully.

3. Provide specially designed programs in the academic disciplines (language arts, math, social studies, and other academic endeavors) that will increase the migrant child's capabilities to function at a level concomitant with his potential.

4. Provide specially designed activities which will increase the migrant child's social growth, positive self-concept, and group interaction skills.

5. Provide programs that will improve the academic skill, prevocational orientation, and vocational skill training for older migrant children.

6. Implement programs, utilizing every available Federal, State, and local resource through coordinated funding, in order to improve mutual understanding and appreciation of cultural differences among children.

Supportive Services

7. Develop in each program a component of intrastate and interstate communications for exchange of student records, methods, concepts, and materials to assure that sequence and continuity will be an inherent part of the migrant child's total educational program.

8. Develop communications involving the school, the community and its agencies, and the target group to ensure coordination of all available resources for the benefit of migrant children.

9. Provide for the migrant child's physical and mental well being by including dental, medical, nutritional, and psychological services.

10. Provide a program of home-school coordination which establishes relationships between the project staff and the clientele served in order to improve the effectiveness of migrant programs and the processes of parental reinforcement of student effort.

11. Increase staff self-awareness of their personal biases and possible prejudices, and upgrade their skills for teaching migrant children by conducting inservice and preservice workshops.

An implicit goal of the migrant education program is to serve eligible migrant students in order that they may benefit from "regular" and supplementary educational and supportive services. In the case of migrant students, identification and recruitment of eligible students requires special efforts. Migratory workers and their children have long been ignored by society. Drawingthem into the school system thus becomes a special activity in itself.

Program Operations

The Title I program for migratory children is a State-operated program which typically involves financial assistance to local educational agencies as subgrantees. Administrative responsibilities are shared by the U.S. Commissioner of Education, State educational agencies, and local educational agencies and other public and non-public private organizations which operate migrant education projects. Funding of local Title I migrant education projects is administered by USOE through State educational agencies. The formula for computing the maximum grant a State may receive is based on the number of full-time (that is, formerly migratory and currently migratory intrastate students) or full-time equivalent (that is, currently migratory interstate students), school-aged (5-17 years) migrant children residing in the State over a 12 month period. The true number of migrant children residing in each State (information provided by the employment offices of the U.S. Employment Service) by 75 percent. Section 101 of P.L. 93-280 (the Education Amendments of 1974) provides that the number of migrant children will henceforth be estimated from "statistics made available by the migrant student record transfer system or such other system as (the Commissioner) may determine most accurately and fully reflects the actual number of migrant students." Beginning in FY 1975 State allocations have been based on migrant students counts contained in the Migrant Student Record Transfer System.

The SEA is directly responsible for the administration and operation of the State's Title I migrant education program. The SEA approves or disapproves project proposals, and is responsible for the design and preparation of State evaluation reports. Annually, each SEA also submits a comprehensive plan and cost estimate for its statewide program to the Office of Education for approval. Section 116d.31 of the interim final regulations provides that this plan is to contain information on: the number and location of migrant students within the State, the migrant children's special educational needs, program objectives, services to be provided to meet those objectives, evaluation procedures for determining program effectiveness, evaluation procedures for determining program efffectiveness, locally-funded facilities and services to which migratory children will have access, and the types of information which the SEA will phass on to other SEAs to ensure continuity of services. In addition, each State application form is to contain an appropriate budget. Section 116d.30 of the regulations further provides that the Commissioner shall approve a State application only if it demonstrates that payments will be used for projects designed to meet the special educational needs of migratory children including provision for the continuity of educational and supportive services, and full utilization of the Migrant Student Record Transfer System.

If the State's application is approved, it is awarded a grant, entirely separate from its regular Title I application, to finance the migrant education program. SEAs are required to submit to the Commissioner of Education individual project summaries indicating in sufficient detail the manner and extent to which State objectives and priorities are being met.

Proposals to operate a migrant project are submitted to SEAs by local educational agencies which serve migrant students, and by other public and non-profit private organizations, provided they they do not operate private schools (note that proposals are submitted on a voluntary basis). Section 116d.6 of the regulations provides that proposals shall describe the objectives to be achieved by the operating agency for each grade group, the total estimated number of children to be served by the agency, the services to be provided to achieve the stated objectives, the types and number of staff to be employed, and an appropriate budget.

The statute also includes a provision whereby the Commissioner may conduct migrant programs through special arrangements. The Commissioner may make special arrangements with other public or non-profit private agencies in one or more States, and may use all or part of the grants available for any such State if he determines: that a State is unable or unwilling to conduct educational programs for migratory children, or that other arrangements would result in more efficient and economic administration or would add substantially to the welfare or educational attainment of migratory children.

In order to implement a migrant education project, operating agencies must identify and recruit migrant children in their respective attendance areas. Section 116d.2 of the interim final regulations provides for two categories of migratory children: currently migratory and formerly migratory. A currently migratory child is a child who has moved from one school district to another within a twelve month period in order for the child, or a member of his immediate family, to obtain employment in an agricultural or fishing activity. A formerly migratory child is a child whose parents have ceased to migrate but who remains eligible for participation in the Title I migrant education program for a period of five years if he resides in an area which has a Title I migrant education project.

It is the intent of the migrant education program to serve those children with the greatest need. Section 122 of the Education Amendments of 1974 and Section 116d.35 of the regulations provides that program services are to be made available first to meet the special educational needs of currently migratory school-aged children (5-17 years old); and then to formerly migratory school-aged children; currently migratory preschool children (3-4 years old); formerly migratory preschool children; and then to other eligible children such as those aged 18-21 years old, and those migratory children aged 0-2 years old who require daycare services in order to release older siblings for school attendance.

An important component of the national program is the Migrant Student Record Transfer System (MSRTS). This computerized data system receives, stores, and transmits educational and health information on children participating in Title I migrant education projects in each of the 48 continental States. Schools are responsible for submitting health-related--and educational experience and status--information on the migrant children they serve to the local terminal operator in order to maintain the accuracy, completeness, and currency of information in the student record transfer system. When children move to new locations, this information can then be retrieved by their new teachers and by school health officials.

To meet the need for continuity of educational services, State Migrant Education Coordinators have developed lists of criterion-referenced reading and math skills. These are being added to the MSRTS files so that, as students move from one school to another, their records will indicate which reading and math skills they have mastered. In this way, teachers will be able to continue the efforts of their predecessors and plan an appropriate educational program for each child. The MSRTS has also been used to meet the needs of secondary school migrant students who are often unable to graduate from high school because their mobility prevents them from meeting minimum attendance requirements necessary to receive high school course credit. The Washingtron State Migrant Education Program in cooperation with the Texas Migrant Education Program developed a program known as the Washington-Texas Secondary Credit Exchange Project, a combination of night school and coordination with the student's home-base schools to insure proper crediting of course work. Results of a pilot project indicated that 176 program participants accrued 386 course credits, which were then transferred via the MSRTS to their home-base districts.

Program Scope

The Migrant Education Program is a growing program within Title I. It seeks to improve educational opportunities for a target population facing problems which are probably more severe than for any other group. Not only are migrant students typically educationally and economically disadvantaged in comparison to the rest of American society, but, in addition, migrant students by definition miss the systematically sequenced and sustained educational programs available to most non-migrant children.

The following list indicates the number of full-time equivalent students who have participated in the migrant education program since 1973. These counts serve as the basis for program funding, e.g., the 1973 FTE figure was used to determine FY 1975 funding.

Calendar Year	Full-time Equivalent Students (ages 5-17)
1973	212,473
1974	207,474
1975	267,791
1976	296,428
1977	323,504

A count of the actual number of students identified as eligible for program services is provided below. Note that the increases in the number of identified migrant children (actual counts and FTE counts) represents intensified and refined identification and recruitment efforts rather than substantial increases in migratory labor. It is expected that the total number of identified children will level off as recruitment efforts reach completion.

School Year	Number of Participating Students
1975-76	480,000
1976-77	530,000
1977-78	580,000 (estimated)
1978-79	625,000 (estimated)

The number of participating children during school year 1977-78 may also be categorized as follows:

K-12	88%
Preschool	12%
	100%

Interstate Agricultural	41.0%
Intrastate Agricultural	25.0%
Five-Year Agricultural	32.4%
Interstate Fishing	.5%
Intrastate Fishing	.4%
Five-Year Fishing	.7%
	100.0%

The following list indicates the enrollment of children of migratory fishermen since 1975 when P.L. 93-380 authorized their eligibility for inclusion in the migrant education program.

	Student Enrollments		
	1975	1976	1977
Interstate Fishermen	885	1,770	2,159
Intrastate Fishermen	526	1,219	1,530
Five-Year Fishermen	982	2,522	3,094
Total	2,393	5,511	6,783

Data from the 1972-73 regular and 1973 summer school terms indicate that a total of 54% of the Title I, ESEA, migrant education funds were devoted to pupil educational services, including 27% for English language arts and English-as-a-second language, 2% for non-English language arts, and 6% to natural sciences and mathematics; 15% of the funds were devoted to pupil services; 12% to administration; and 8% to other expenditures.

More detailed information from the Migrant Student Record Transfer System indicates that in calendar year 1977, 467,796 students (infants through 21 years of age) in 16,000 schools were served in the migrant education program. Approximately 140,000 students were formerly migratory. A total of 2,900 migrant education projects were in operation. Forty-six States and Puerto Rico initiated State migrant education programs during calendar year 1977. There were no programs in Alaska, Hawaii, New Hampshire, Rhode Island or the territories.

Program Effectiveness and Progress

The growth of the migrant education program from 121 projects in 1967 serving approximately 43,000 students to 2,900 projects in 1977 serving approximately 468,000 students indicates that the target population is being identified and served.

The effects of educational and supportive services provided under the migrant education program on participating students are difficult to document. A descriptive study of the migrant program has been completed by the Office of Education and a more formal evaluation is in progress. A brief description of the former, and the intent of the latter, are discussed below.

Section 507 of the Education Amendments of 1972 (P.L. 92-381) directed the Commissioner of Education to conduct a study of the operation of Title I, ESEA, as it affects the education of migrant children. To meet the Conressional mandate, site visits were conducted at 162 project schools in 72 school districts in ten States (California, Texas, Florida, Colorado, Michigan, New Jersey, New York, North Carolina, Ohio, and Washington), which received more than 70 percent of the migrant education program funds in 1972; principals, teachers, teacher aides, members of advisory committees, parents, and students were interviewed. (Exotech, 1974). In addition, ten noteworthy migrant education projects were identified and visited during the summer of 1973 for case study purposes. Analysis of the data indicated that migrant students and their parents reflect the values of the larger society in that they are supportive of the goals of the educational system, and parents share their children's aspirations for employment outside of the migrant stream in white collar and blue collar positions. Unfortunately, the mobility patterns of migrant students make the task of providing them with an effective educational program extremely difficult. Study findings indicated that migrant students tend to fall behind their non-migrant peers in grade level and in level of academic achievement in the earliest years of school, and, thereafter, are unable to catch up. They are also less likely to enter or complete a secondary school program. Whereas the non-migrant child has a 95 percent chance of entering the ninth grade and an 80 percent chance of entering the 12th grade, the migrant child has only a 40 percent and an 11 percent chance of entering the ninth and 12th grades, respectively.

The data from the evaluation study seemed to indicate the need for the identification and/or design of effective elementary and secondary programs which meet the specific needs of the migrant child. A combination of economic support, effective remedial work, and a clear sequence of activities leading toward specific instructional and career goals, especially for the child at the secondary level, is essential. For the younger migrant child, enrichment experiences at the pre-school level and an emphasis on basic skills in the early elementary grades is needed if the achievement cycle of retarded educational growth and high dropout rates is to be broken. Greater emphasis is also needed in the development and dissemination of effective practices which result in the acquisition of basic skills and reduce the isolation of the migrant child from his non-migrant peers.

The provision of educational services to migrants also depends upon the implementation of effective recruitment programs and greater interstate and intrastate coordination. The Migrant Student Record Transfer System has great potential as a storage and retrieval system for information on migrant children.

A GAO report (Sept. 16, 1975) on the Migrant Student Record Transfer System concluded that the MSRTS data were superior to Department of Labor data for estimating migrant education program allocations. However, GAO was not able to attest to the accuracy of the System, an issue which will be addressed in the current Office of Education study described below.

Ongoing and Planned Projects

The current Office of Education study of the migrant education program is designed to meet a number of objectives. With respect to the comprehensiveness of program services, a study of representative samples of migrant education projects and identified migrant students will provide information on the nature of the educational and support services offered by funded school districts, an assessment of the extent to which students receive services as they move from school district to school district, and a description of the characteristics of participants. In the area of program impact and effectiveness, a large-scale testing effort of some 6,000 migrant students will provide information on the basic skill attainment and persistence in school attendance of second-, fourth-, and sixth-grade participants. A third objective focuses on a validation of the counts of migrant students used in the allocation of funds to the States. Lastly, a set of evaluation procedures for States and local educational agencies to use in evaluating migrant education program activities is under development. Results of this evaluation of the migrant education program will be reported in future annual evaluation reports as they become available.

Sources of Evaluation Data

Evaluation of the Impact of ESEA Title I Program for Migrant Children of Migrant Agricultural Workers (Volumes I-IV). Falls Church, Virginia: Exotech Systems, Inc., January 1974.

Evaluation of the Migrant Student Record Transfer System (MWD-76-21). Washington, D.C.: General Accounting Office, September 1975.

Hill, S.T., and R. N. Jessee. *Migrant Program Statistics: 1972-73 Regular and 1973 Summer School Terms* (NCES 77-156). Washington, D.C.: National Center for Education Statistics, U.S. Department of Health, Education and Welfare, 1977.

"Special Educational Needs of Migratory Children: Rules and Regulations (Interim Final.)" *Federal Register*, 1977 (July 13), *42* (Number 134), 36076-36085.

For further information about program operations,

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(202) 245-7997

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Title I Program for Institutionalized Neglected or Delinquent Children

Legislation:

Title I of the Elementary and Secondary Education Act of 1965, as amended

Expiration Date:

September, 1983

Funding History:

Year	Authorization	Appropriation 1/
1969	13,946,100	13,946,100
1970	15,962,850	16,006,487
1971	18,194,106	18,194,106
1972	20,212,666	20,212,666
1973 2/	27,545,379	27,545,379
1974	25,448,869	25,448,869
1975	26,820,749	26,820,749
1976	27,459,444	27,459,444
1977	28,841,151	28,841,151
1978	29,821,338	29,821,338
1979	31,807,484	31,807,484

Program Goals and Objectives

As part of ESEA, Title I, the program for institutionalized neglected or delinquent children responds to the larger program's goals as stated in P.L. 89-10; that is, to

> "improve educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children." (Section 101 of P.L. 89-10).

1/ Section 144 of ESEA, Title I requires that grants for the State-operated program for the neglected or delinquent (as well as those for State programs for the handicapped and for migrant children) be awarded as authorized. This is referred to as "off-the-top funding" or being "fully funded," in contrast to LEA grants that are reduced as necessitated by appropriations.

2/ Beginning in 1973, unlike the previous years, funds were authorized and appropriated to serve children in adult correctional institutions. About $6.8 million of the $7.3 million overall increase between 1972 and 1973 is attributable to the addition of that population.

The amendments in P.L. 89-750 passed on November 3, 1966, which added institutionalized neglected or delinquent youth (as well as children of migratory agricultural workers and Indian children in B.I.A. schools) to those eligible under P.L. 89-10, stated goals for these subprograms. With respect to the neglected or delinquent children, the law states that the funds must be used "only for programs and projects (including the acquisition of equipment and where necessary the construction of school facilities) which are designed *to meet the special educational needs* of such children." (Section 123 (c) of P.L. 89-10 as amended, underlining added)

Specifically, in applying for Title I funds, a State agency must demonstrate that the proposed project has "reasonable promise of substantial progress toward meeting the special educational needs of the children to be served." (*Federal Register*, April 4, 1978, p. 14296).

Program Operations:

The Title I program for children in institutions for neglected or delinquent youth or in adult corrections facilities is administered by USOE, State education agencies, the State agency responsible for educating children in institutions, and institution education personnel. Such institutions whose children are eligible to receive services are defined as follows:

(1) "An institution for neglected children means a facility (other than a foster home) which is operated for the care of children who are in the custody of a public agency as the result of a determination of neglect under State law. and which has an average length of stay of at least 30 days."

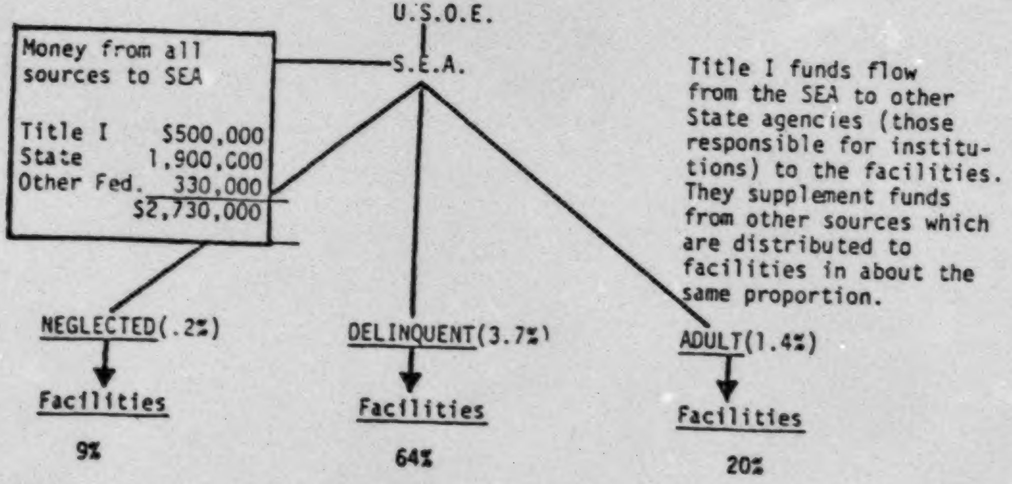
(2) "An institution for delinquent children means a facility which is operated for the care of children who are in the custody of a public agency as a result of a determination under State law that they are either (a) delinquent or (b) in need of treatment or supervision after being charged with a violation of State law, and which has an average length of stay of at least 30 days."

(3) "Adult correctional institution means a facility in which persons are confined as a result of a conviction of a criminal offense, including persons under 21 years of age." (*Federal Register*, April 4, 1978, pp. 14294,5).

Title I grants are made to State agencies responsible for the education of children in institutions they operate or support. Each such agency is, then, a Title I grantee. Its grant is based on the average daily attendance of children receiving free public education for at least 5 hours per week in the institutions administered by that agency. The size of the grant is stipulated in section 123(b) of the legislation to be that average daily attendance figure multiplied by 40% of the State's average per pupil expenditure (or to be no less than 80% of the U.S. average per pupil expenditure and no more than 120% of the U.S. average). (Further, Section 125 of the same legislation states that no State agency shall receive less than 100% of what it received the previous year.)

A recently completed descriptive study of State institutions receiving Title I funds has documented the numbers of children served, the nature of those services, the management of the program at the institution and State levels, and the flow of funds among the administrative levels. The study, a preliminary phase of the impact study described briefly under "Ongoing and Planned Evaluation Studies," as performed by System Development Corporation and involved visits to 100 randomly selected institutions and interviews with students, teachers, and

Figure 1. Flow of Funds



Title I funds flow from the SEA to other State agencies (those responsible for institutions) to the facilities. They supplement funds from other sources which are distributed to facilities in about the same proportion.

(Figures in parentheses reflect funds used for administration.)

administrators in those sites. Interviews were also conducted with Title I administrators responsible for the N or D program in all States (as well as in Puerto Rico and the District of Columbia) including those in both the State Education Agency (SEA) and in the State Applicant Agency 3/ (SAA; e.g., the Department of Corrections. Youth Authority, etc.).

The funding of this program can be decribed in two ways: in terms of its flow from USOE to SEA to SAA to institution and in terms of its uses in the institutions to provide Title I services to participating students. Figure 1 illustrates the flow of Title I N or D dollars to institutions. On the average. the SAA's retain about 2% for administration. Facilities for delinquent youth then receive about 64% of a State's appropriation; those for adult offenders. about 20%; and those for neglected children about 9%. These figures are very similar to those for the distribution of State funds across agencies. although typically larger portions of State funds are retained for administrative uses.

Funds are available at the State level for education in institutions for neglected youth, delinquents. or adult offenders and average about $2.1 million per State. ranging from about $17,000 to over $10 million. On the average, approximately 68% of these funds are from the State, 20% from ESEA Title I, and 12% from other federal sources. The average Title I grant is about $500,000 with a range of $24,000 to over $2.2 million. State funds average about $2 million, providing a typical per-pupil expenditure from all sources just slightly less than that found in public schools currently (System Development Corporation. 1977).

Once the various monies are received by facilities, they are spent primarily on staff and materials. Nearly 75% of the Title I funds, on the average. support staff; this compares with 81% of the State funds being so used, and 40% of the funds from other Federal programs. In th case of Title I. nearly all those staff (over 80 percent on the average) are classroom personnel -- teachers and paid aides; about 3% are administrators. about 6% counselors, and about 11% other types of support personnel. (This is in marked contrast with the expenditure pattern for staff from State funds and other Federal funds: in the case of the former, only about 41%, on the average, supports classroom personnel. 12%

3/ so called because it submits an application to the SEA in order to receive Title I funds.

for administrators, and 37% for other support). This seems to confirm interviews' reports in the national study that the emphasis in Title I is on instruction (System Development Corporation, 1977).

On the average the Title I per-pupil expenditure in the institutions is $456, but the figures from less than $100 to almost $1700. For over 65% of the institutions, $500 or less was the Title I per pupil expenditure. Inclusion of funds from all sources raises the average per-pupil costs for Title I students to about $1350 (again, however, with a large range). The comparable figure for that same year in public schools was an average per-pupil expenditure of $1550. (Most of the difference between the two figures in attributable to an extremely low per-pupil expenditure in institutions for adults.)

The USOE list of State institutions eligible to receive Title I funds in 1976-77 contained 590 such facilities: 28 for neglected children, 323 for the delinquent, and 239 for adults (but serving youth under 21). In the sample of 100 visited, there were 10, 58, and 32 by category, respectively. (Institutions for neglected children were oversampled in order to provide descriptions of the program in that setting, specifically.)

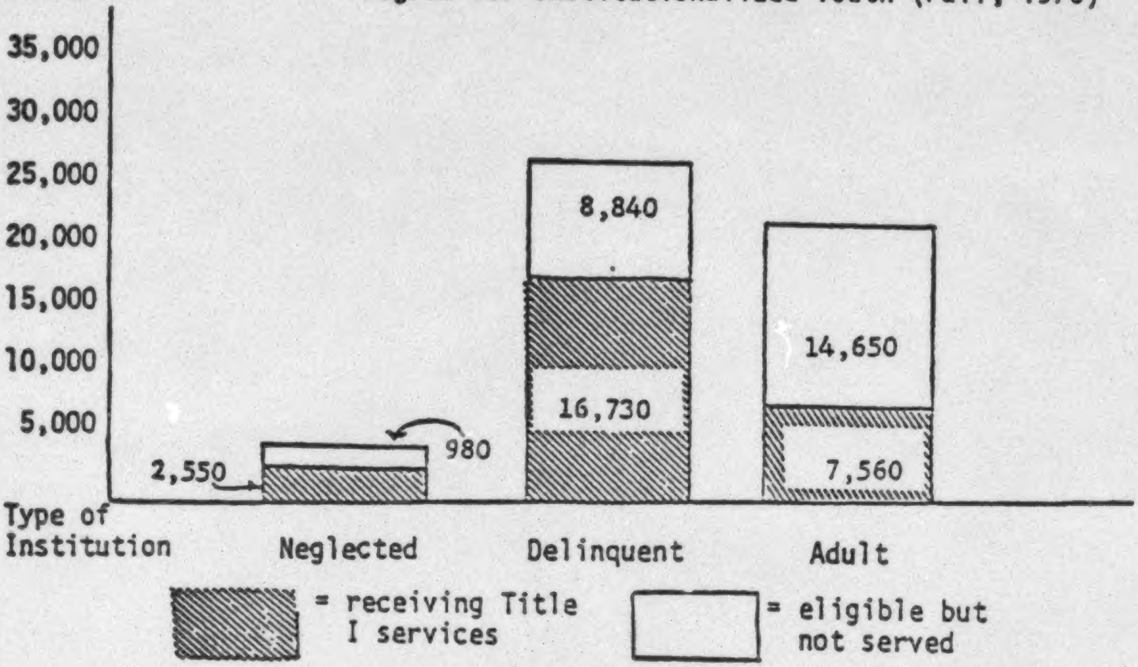
Of the institutions eligible to receive Title I funding, 184 were not participating as of fall, 1976. They were often small facilities with few inmates eligible to receive Title I services (i.e., under 21 years of age and lacking a high school diploma). Nearly 1/4 of them, however, were fairly large institutions for adults, but having few residents eligible for Title I. This occurred primarily in the southeast.

Program Scope

Almost 27,000 children were receiving Title I services in State institutions in fall, 1976. Of these, 2550 were in institutions for the neglected, 16,730 in those for delinquent youth, and a little over 7560 in those for adults. This compares to an estimate of just over 51,000 as eligible to participate in the program nationwide. Eligible students are those who are younger than 21, lack a high school diploma, participate in a regular program, and are low-achievers.

The numbers of children being served are shown in Figure 2 below. Also illustrated there are estimates of eligible children not being served by Title I. About 72% of the eligible neglected children in these institutions are being served by Title I, about 65% of the eligible delinquents, about 34% of the youth in facilities for adults.

Figure 2. Children Enrolled in the ESEA, Title I Program for Institutionalized Youth (Fall, 1976)



In 20% of the institutions with Title I projects, those projects are able to serve all the eligible students; 55% of the institutions can serve half or more of the eligible students. Most of the sites who cannot serve at least half the eligible student population are institutions for adults. 4/ (Over 60% of them report this problem)

The children participating in Title I greatly resemble those in the institutions as a whole, except, as would be expected, they are younger. With regard to sex, race, and commitment status, they are not significantly different from the general resident population. Also, their average length of stay is similar to that of the other residents: about 20 months in institutions for the neglected, about 8 months in facilities for delinquents, and about 18 months in those for adults.

The nature of Title I varies considerable from site to site according to how education, itself, is organized in the facilities. In some cases, the facility may have the appearance of a junior college campus with security concerns only slightly in evidence. In such a case, residents might be expected to live in small (10-15 person) cottages and to move freely to other buildings, such as that for classes. On the other hand, a facility with obvious, over-riding orientation toward security concerns might consist merely of a large fenced-in building with two classrooms, perhaps a shop and library, in one wing. Occassionally classes might be held in multi-purpose rooms serving as dining halls or gymnasiums.

Education and the attention it receives from staff and students varies as much across institutions as do physical facilities. In some cases, education must, according to State law, be comparable to that of public schools. Residents must attend classes, and their progress is sometimes rewarded by access to better living areas (those with color

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4/ Note that these proportions of "eligible" children receiving services use a definition of eligibility which considers only age, lack of a high school diploma, and enrollment in a regular program. A child's actual participation depends also on his or her educational deprivation. Since rough estimates--to be improved in the impact study--suggest that very few of the institutionalized population can perform as well as or better than their age-level peers, however, the figures regarding unserved but eligible residents would be reduced only slightly.

television, for example) and to special priviledges. In such a case, the residents' school day may look considerably like that in regular schools. A contrast would be institutions in which only a small percentage of the inmates are in education activities, or those (18% of the cases) in which those activities are not accredited by the State (System Development Corporation, 1977b).

Hence, education in the institutions varies considerably, and consequently, so does Title I. Participation in a Title I project can be described in terms of the needs assessment and selection processes, the actual delivery of services, and the evaluation of those services in the institutional setting. Diagnostic testing (either at the institution itself or in a State facility maintained especially for that purpose) is used most frequently to assess residents' needs and to select them for participation in Title I. This testing almost always assesses academic achievement, and may be supplemented by tests for special learning problems (in half the cases) or by inventories measuring IQ, attitudinal, or personality traits (in one-third of the cases).

The Title I services offered to participating children are primarily in the areas of reading and mathematics. (Over 4/5 of the projects were in one or the other, and they account for about 70% of the funds spent, on the average.) Occassionally the services also focus on cultural enrichment, social studies, other academic areas, counseling, or special education. These are viewed as supplementary services offered in addition to the institutions' regular educational programs which may be basic elementary education (in over 60% of the cases), a secondary school curriculum (again, in 60% of the facilities), preparation for a General Education Diploma (GED - over half), remedial education other than Title I (in about 85%). 5/ There is usually a distinction in the facilities between the courses in vocational education and those not--labelled in general as "academic." Title I services are most often integrated with those in the "academic" curriculum, less frequently with vocational education.

5/ In order to receive Title I funds, the institution must be offering a regular education program which is defined in the regulations as "classroom instruction in basic school subjects such as reading, mathematics, and vocationally oriented subjects, and which is supported by other than Federal funds. Neither the manufacture of goods within the institution nor activitiess related to institutional maintenance are considered classroom instruction" (Federal Register, p. 14295).

A review of instructional areas emphasized in reading showed them to be most frequently vocabulary, word recognition, phonetics, literal comprehension, following directions, and listening. A similar review of the math curriculum showed emphasis on fundamental operations, practical math, measurement, and word problems. Materials used were most often student worksheets and audio-visual presentations (System Development Corporation, 1977).

Title I classrooms were observed in order to describe how the instruction is actually organized. Students spent a little over 1/3 of their time, on the average, working alone with instructional equipment (except in institutions for delinquents where the use of equipment was far less frequent). The next highest proportion of time was spent working individually with the teacher (in about 1/4 of the time o on the average). Only in institutions for the neglected did Title I classes spend much time working together as whole units (about 20% of the time).

Title I instruction was usually organized into class periods of between one and two hours in length. Most often, the Title I classes met 3-5 times a week, making a typical Title I student receive about four hours of extra instruction weekly. This supplements the normal academic education program and/or, perhaps, participation in a vocational program.

Instructional staff in Title I projects tend to be better educated than other teachers in the institutional settings: that is, whereas almost all of them have earned at least a bachelor's degree, this is less common among the non-Title I teachers (of whom a little over 10% have no college degree). Also, nearly 2/5 of all Title I teachers have done graduate work. Their teaching experience is comparable to that of the other teachers in institutions: about 3-4 years in both correctional and non-correctional settings. They earn on the average about $12,000; the national figure for elementary and secondary teachers is about $13,000 (NCES, 1977).

Evaluation of Title I projects is required by law and most typically focuses on student achievement and attitudes, involving in almost all cases the use of standardized tests or locally developed instruments. Projects are also evaluated according to their degree of implementation.

Many personnel cited problems in evaluating their projects due to lack of appropriate test instruments, students' differing length of participation, and lack of staff expertise. The problems are being addressed in an ongoing study. (See the section entitled "Ongoing and Planned Evaluation Studies" and the appendix describing the implementation of Section 151 of ESEA, Title I.)

Program Effectiveness and Progress

The addition of this program to Title I in 1966 represented the first Federal effort to improve the educational experiences of children in institutions for the neglected or delinquent. Just as the objectives for the program have evolved since that time from a desire to "rehabilitate the children into self-respecting citizens" to a more specific goal of remediating their special educational handicaps, so, too, have the services changed. As noted above, there does seem to be an emphasis on improving children's performance in the basic skills with both project personnel reports and expenditures reflecting that priority.

There are no uniform data at the Federal level to describe the program's effectiveness in meeting its goals, but such information will be available from the impact study underway currently. (See next section.) Predictably, people working in the program do feel it to be effective, however.

Interviews with the various people involved in Title I--the students, teachers, facility administrators, and State administrators--found them typically to feel positive about the program. They mentioned most frequently its emphasis on individualized instruction and students' work in the basic skills as strengths (about 1/4 of the respondents). Weaknesses cited were its strict guidelines (24% of the respondents) and insufficient funding (16% of the respondents).

Ongoing and Planned Evaluation Studies

A national evaluation of the program is currently underway. The results from its first phase (to describe the program) are summarized above. Later work will assess the effects of the Title I services and will produce evaluation models appropriate for use by institutional and SEA personnel.

Tests to measure students' progress in the basic skills were administered to both Title I and non-Title I students in a sample of 40 institutions between October, 1977 and June, 1978. Those pupils' perceptions of themselves as students have also been assessed. Documentation of their receipt of various educational and other institutional services will allow the description of those which are discovered to be most effective in improving the students' performance and attitudes. These experiences are also the foundation for the ongoing development of evaluation models.

Sources of Evaluation Data

Federal Register, "Grants to State Agencies for Programs to Meet the Special Educational Needs of Children in Institutions for Neglected or Delinquent Children," Volume 43, Number 65, Tuesday, April 4, 1978, pp. 14292-14296.

General Accounting Office, "Re-evaluation needed of Educational Assistance for Institutionalized Neglected Children," Report to Congress by the Comptroller General of the United States, December 19, 1977.

National Center for Education Statistics, "The Condition of Education, 1977 Edition," Volume 3, Part 1, 1977.

System Development Corporation, "National Evaluation of Title I Progress for Neglected or Delinquent Youth in State institutions," Phase I Report for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, California, 1977.

System Development Corporation, "Case Studies in the Title I Program for Neglected or Delinquent Youth in State Facilities," Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, California, 1977.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Libraries and Learning Resources

Legislation:	Expiration Date:
Elementary and Secondary Education Act, Title IV-B	FY 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$395,500,000	$137,330,000 1/
	1976	Indefinite	147,330,000 2/
	1977	Indefinite	154,330,000
	1978	Indefinite	167,500,000
	1979	Indefinite	180,000,000

Program Goals and Objectives:

ESEA Title IV, Part B, is a formula grant program in which three categorical programs were consolidated to provide State education agencies with more flexibility in the use of appropriated funds. The three programs consolidated in the Libraries and Learning Resources program are School Library Resources, ESEA, Title II; School Equipment and Minor Remodeling, NDEA, Title III; and the Guidance, Counseling and Testing portion of ESEA, Title III.

The purposes of this program as specified by the legislation are acquisition of school library resources, textbooks, and other instructional materials; instructional equipment for use in the academic subjects, and minor remodeling; testing, counseling, guidance programs for students in elementary and secondary schools; and programs, projects, and leadership activities to strengthen counseling and guidance services. Funds are available to State education agencies for administration of the program.

Program Operations:

Program funds are allocated to each State from the amount appropriated to carry out Part B in an amount which bears the same ratio to the total as the number of children aged 5 to 17, inclusive, in the State to the number of such children in all the States. The State is required to distribute these funds among local education agencies (LEA's) according to the enrollments in public and nonpublic schools within the school districts of such

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1/ First year of consolidation in 1975; 50 percent ($68,665,000) is for categorical programs.

2/ Advance funding for the next fiscal year for all years from FY 1976 forward.

agencies, except that substantial funds will be provided to (1) LEA's who have a substantially greater tax effort for education than the State average, but whose per pupil expenditure is no greater than the State average, and (2) LEA's which have the greatest proportions of children whose education imposes a higher average cost, e.g., low-income children, rural children, and children from families in which English is not the dominant language. Local education agencies are given complete discretion (subject to provisions for equitable participation by private school children) in determining which Part B program purposes they will fund.

Program Scope:

The 50 States, District of Columbia, Puerto Rico, American Samoa, Guam, Trust Territory of the Pacific Islands, Virgin Islands, and the Department of the Interior (for children and teachers in elementary and secondary schools operated for Indian children by the Bureau of Indian Affairs) had ESEA Title IV program plans approved by the Commissioner of Education for fiscal year 1978; 16,376 local education agencies had approved Part B projects in fiscal year 1977.

Program Effectiveness and Progress:

The following table contains preliminary data showing expenditure of Part B funds in fiscal years 1976 and 1977.

	1976	1977
School Library Resources and Other Instructional Materials, Textbooks	$25,394,300 (54.1%)	$70,678,534 (56.12%)
Equipment and Minor Remodeling	$15,863,145 (33.7%)	$41,037,683 (32.89%)
Counseling and Guidance	$ 5,711,237 (12.2%)	$14,218,428 (11.29%)
Total	$46,968,682 (100.0%)	$125,394,645 (100.0%)

States and local education agencies made a smooth transition from the categorical programs to a consolidated program. Substantial amounts of Part B funds have been directed to benefit children whose education imposes a higher than average cost per child and children in local education agencies with higher than average effort but low per pupil expenditures for education. Paperwork has been reduced at Federal, State, and local levels and greater autonomy of choice provided to local education agencies in the use of funds.

Private school children were able to participate equitably in the program because of the special efforts made by State and local education agencies and State Title IV Advisory Councils. In FY 1977, an estimated 41.2 million public and 4.3 million private school children participated in the program.

Ongoing and Planned Evaluation Studies:

A current study initiated in FY 1977 will examine the implementation and management of the program.

Sources of Evaluation Data:

Preliminary program data summarized from annual reports for FY 1976 and FY 1977 submitted by State education agencies.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Innovation and Support

Legislation:

Title IV, Part C of the Elementary and Secondary Education Act

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation 1/
1976	$350,000,000	$172,888,000 2/
1977	indefinite	184,521,852
1978	indefinite	197,400,000
1979	indefinite	197,400,000

Program Goals and Objectives: 3/

ESEA Title IV, Part C, is a formula grant program under which four categorical programs were consolidated to simplify the administration of the programs and to provide State education agencies with more flexibility in the use of appropriated funds while maintaining the purposes formerly supported by the categorical programs. The four programs consolidated in the ESEA Title IV, Part C are Title III, ESEA, Supplementary Educational Centers and Services (except Guidance, Counseling, and Testing); Title V, ESEA, Strengthening State and Local Educational Agencies; Title VIII, Section 807, ESEA, Dropout Prevention projects; and Title VIII, Section 808, ESEA, Nutrition and Health.

The purposes of these four programs continued under authority of ESEA Title IV, Part C are to support:

(1) supplementary educational centers and services and the development and establishment of exemplary elementary and secondary school programs to serve as models for regular school programs;

(2) strengthening the leadership resources of State and local educational agencies;

1/ Advance funding from prior year's appropriation.

2/ Fifty percent of the appropriation was administered through the separate categorical programs in Fiscal Year 1976.

3/ Part C purposes were redefined in the Education Amendments of 1978. In addition, some of the program objectives described were placed in other parts of Title IV, effective in FY 1980.

(3) Innovative demonstration projects which show promise of reducing school dropouts;

(4) Demonstration projects to improve school nutrition and health services in schools serving areas with high concentrations of children from low income families.

The House Committee on Education and Labor in its report on the legislation expressed its views that the proposal for consolidation was intended to respond to pleas from SEAs and LEAs for relief from the administrative burdens imposed by the several categorical programs, and not to express dissatisfaction with the programs themselves.

Program Operations:

From the total amount available for Title IV, Part C, the Commissioner of Education allots to each State an amount proportionate to the number of children aged 5-17 in the State, as compared with total number of children in all of the States. (The term "State" as used here includes the District of Columbia and the Commonwealth of Puerto Rico.)

Up to one percent of the amount available under Title IV, Part C, may be reserved for Guam, American Samoa, the Virgin Islands, the Trust Territory of the Pacific Islands, for schools operated for Indian children by the Department of the Interior, and for children in the overseas dependents schools operated by the Department of Defense. Direct grants are awarded to the 50 States, the District of Columbia, American Samoa, Guam, Puerto Rico, the Virgin Islands, the Trust Territory of the Pacific Islands, and the Department of the Interior for schools operated for Indian children. Overseas dependents schools operated by the Department of Defense are also eligible to participate.

To receive a grant, each State educational agency and other eligible beneficiary is required to submit an annual program plan conforming to the statutory requirements, which when approved by the Commissioner of Education, serves as an agreement between the applicant and the Office of Education. The plan must be submitted for comments to the Office of the Governor and have been reviewed by a State Advisory Council.

Each SEA is required by the statute to appoint a State Advisory Council (SAC) broadly representative of the cultural and educational resources of the State. The SAC's responsibilities include:

(1) advising on the preparation of, and policy matters arising in the administration of, the State plan, including the development of criteria for the distribution of funds and the approval of applications from LEAs;

(2) evaluating all programs and projects assisted under Title IV;

(3) preparing at least annually and submitting through the SEA a report of its activities, recommendations, and evaluations, together with such additional comments as deemed appropriate, to the Commissioner.

Up to 15 percent of the funds or the amount allocated to the State for these activities in Fiscal Year 1973, may be used for strengthening State and local education agencies. Up to 5 percent of the combined Parts B and C allocations, less the amount used for "strengthening" activities, or $225,000, whichever is greater, may be used for State program administration of Parts B and C. Remaining funds in Part C support State discretionary grants to local school districts for projects in priority areas determined by the States within the purposes of the law. States are directed to provide technical assistance to small districts to assure their participation on an equitable basis. Fifteen percent of the available funds must be used for programs or projects directed to education of handicapped children. In applying for funds, LEAs must consider children and teachers in non-public schools in their districts on the same basis as children in the public schools.

In monitoring the operation of Title IV in the States, Office of Education teams, consisting of both Part B and Part C staff, conduct reviews of State administration of the program. These reviews are designed to go beyond compliance checks and determine progress in remedying shortcomings disclosed in prior reviews.

The schedule for the reviews includes time for the team members to visit and observe LEA projects and to discuss with LEA and project personnel the nature and quality of services rendered by the SEA under Title IV. In line with this, the Division of State Educational Assistance Programs is developing a means of providing the SEAs with technical assistance toward better administration, particularly in improving their services to LEAs, to their State legislatures, and to their Governors. A pilot review with such an orientation has been conducted in Colorado, and two other State agencies are cooperating to refine the review process, called the Educational Services Review. One of the goals in this process is to improve the ability of SEAs in promoting the adoption of successful, validated projects.

Program Scope:

In the 1977 program year, more than 4,300 local school districts participated in Title IV Part C projects. Project participants included 6.3 million public school students and 1.1 million private school students. Some of the major thrusts of the program are indicated below:

NUMBER OF PROJECTS AND AMOUNT OF FUNDS GRANTED BY CONTENT AREA

Content Area	Number Of Projects	Amount Of Funds Granted
Reading	105	$ 2,377,360
Math	99	2,269,237
Language Arts	26	503,064
Social Studies	11	375,144
Science	17	360,227
Art/Music	21	1,234,365
Physical Education	12	239,964
Career Education	25	628,243
Environmental Education	21	643,056
Nutrition	11	274,116
Health	9	69,027
Vocational Education	16	500,948
Consumer Education	7	186.442
Dropout Prevention	37	902,350
Parent Education	10	465,774
Media	19	417,643
Guidance & Counseling	62	1,359,896
Instructional Modes	134	4,450,173
Other (Misc.)	121	4,631,065
Grand Total	763	21,888,094

Source: 1977 Annual Reports from 17 States including: Alaska, Delaware, Florida, Idaho, Iowa, Kentucky, Maryland, Michigan, Missouri, New Hampshire, New York, North Carolina, North Dakota, Oregon, South Carolina.

Reviews conducted by USOE personnel have shown that State departments of education have given priority attention to their responsibilities to aid local school districts in developing Title IV-C projects. They have reorganized their staffs or reassigned duties to accomplish the purposes of Title IV. The virtually universal pattern is a top-echelon official of the department supervising a Title IV coordinator, a Part B and a Part C specialist, a disseminator and a facilitator, assisted by other personnel and services of the department.

Small districts (fewer than 600 pupils) had more than 400 Title IV projects in program year 1977. Mid-size districts (600 to 5,000 students) shared about half the projects and large districts (with more than 5,000 enrollment) had 1,629 projects.

For the strengthening process, the law permits the SEA to use the greater of 15 percent of the Part C allocation, or the amount allocated to it in Fiscal Year 1973 for strengthening purposes; for administration, it may use up to 5 percent of the combined Parts B and C allocations less the amount used for strengthening, or $225,000, whichever is greater. The figures below indicate the uses of these funds for SEA staff.

Positions and Funds for Strengthening SEAS, Fiscal Years 1967, 1970, and 1977

	Number of Positions*	Funds Available
Fiscal Year 1967	1,413	$16,528,379
Fiscal Year 1970	1,912	24,171,194
Fiscal Year 1977	1,888	47,415,776

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* Full-time equivalents.

For administration of Title IV, the SEAs deployed staff in this way:

	Professional	Non-Professional	Total
Part B	389	320	709
Part C	448	333	781
Total	837	653	1,490

Program Effectiveness and Progress:

Program year 1977 (July 1, 1976 - June 30, 1977) was the first year of full implementation of consolidation under Title IV. As was to be expected, the change from discrete treatment of the several programs as well as new conditions laid down by the 1974 Amendments, caused some problems in the SEAs. For example, the SEAs are now obliged to require of applicant LEAs only a single application for grants under both Parts B and C, yet the two have different funding cycles. The State Advisory Councils' role in advising, evaluating, and making recommendations on Title IV programs was a sensitive and difficult area. Staffing patterns, accounting procedures, and management information techniques developed over a period of time to deal with categorical programs had to be altered to accommodate the consolidated mode, and needed changes in some SEAs have not yet been fully accomplished.

These and other less general problems have been addressed by the State Advisory Councils in the annual reports and recommendations they are required by the statute to submit to the Commissioner. The statute imposes on the State the obligation to disseminate widely the results of SAC evaluations and to promote the adoption of exemplary and promising practices developed by innovative Title IV projects. To fulfill this obligation, State education agencies have taken steps to support and reinforce SAC evaluations; to disseminate information about worthwhile projects by means of publications, workshops, exhibits, and other appropriate means; and to assist interested school districts in adopting proven projects.

Ongoing and Planned Evaluation Studies:

A process and management study of the Title IV consolidated programs was initiated in 1977. It will review policies, practices, and problems at the Federal, State, and local levels in managing the consolidated programs, use of funds within the authorized purposes, implementation of equity provisions of the law with respect to distribution of funds, provision of services to nonpublic school children, and other management problems and policy issues.

An interim report, based on extensive interviews with Federal, State, and local officials and the results of a national workshop, was submitted to the Congress in January 1978.

Sources of Evaluation Data:

ESEA Title IV State Program Plans, Fiscal Year 1978.

ESEA Title IV State Annual Reports, Fiscal Year 1977.

Elmore, Richard F., and Milbrey Wallin McLaughlin. ESEA Title IV: Issues and Research Questions. The Rand Corporation, January 1978.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Bilingual Education

Legislation:

Bilingual Education Act
ESEA Title VII
(P.L. 95-561

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
FY 68	$15,000,000	$ -0-
69	30,000,000	7,500,000
70	40,000,000	21,250,000
71	80,000,000	25,000,000
72	100,000,000	35,000,000
73	135,000,000	45,000,000 1/
74	135,000,000 2/	58.350,000 3/
75	135,000,000 2/	85,000,000 4/
76	140,000,000 2/	98,000,000 4/
77	150,000,000 2/	115,000,000
78	160,000,000 2/	135.000,000
79	160,000,000 2/	150,000,000

1/ Of this amount, $9,870,000 was released and made available for obligation in FY 74.

2/ Plus sums authorized for the provisions of Sections 721 (b)(3) and 742 of P.L. 93-380.

3/ Amount shown is after congressionally authorized reductions.

4/ Includes funds earmarked by the Congress to carry out provisions of Part J of the Vocational Education Act. An amount of $2,800,000 was appropriated for this purpose each year.

Program Goals and Objectives

The general goal of the Bilingual Education Program is to provide equal educational opportunity for children of limited English-speaking ability. To achieve this goal, the Program provides assistance (a) for establishing elementary and secondary programs of bilingual education, (b) for establishing training programs to increase the number and quality of bilingual education personnel, (c) for developing and disseminating bilingual instructional materials, and (d) for coordinating programs of bilingual education.

The term "limited English-speaking ability" when applied to a student means one who has difficulty speaking and understanding instruction in the English language by reason of his/her being: (a) not born in the United States or in a country whose native language is not English: or (b) a student who comes from an environment where the dominant language is other than English. The term "program of bilingual education" means an instructional program designed for students of limited English-speaking ability in elementary or secondary schools where instruction is given in English and, to the extent necessary, the native or dominant language for the student to progress effectively through the educational system. Such instruction shall incorporate an appreciation for the cultural heritage of the student of limited English-speaking ability and shall be in all subjects of study necessary for the student to progress effectively through the educational system. A program of bilingual education may provide for the voluntary enrollment to a limited degree of students whose native language is English so that they may acquire an understanding of the cultural heritage of the students of limited English-speaking ability for whom the program is designed. However, in assigning students to a bilingual education program, priority must be given to students whose native language is not English, and in no event may the program be designed to teach a foreign language to English-speaking children.

Although the goals and objectives of the Bilingual Education Program are as given above, two facets of the program, are not clearly defined: (a) whether the program is a service program, a demonstration program or both and (b) whether the program is a "transitional" program or "maintenance" program. A resolution of both issues is basic to clearly defining the Federal role in bilingual education and to assessing program effectiveness.

The problem begins with the "purpose" section of the law. The law reads: "... The Congress declares it to be the policy of the United States --- to encourage the establishment and operation --- of bilingual educational programs, --- and --- for that purpopse, to provide financial assistance to local educational agencies --- in order to enable such local educational agencies to develop and carry out such programs ---; and to demonstrate effective ways of providing, for children of limited English-speaking ability, instruction designed to enable them, while using their native language, to achieve competence in the English language." Thus, both service (to provide financial assistance --- to develop and carry out such programs") and demonstration ("to demonstrate') goals are set forth. However, the fact that appropriations have been much less than required to serve the population and the fact that Title VII is a Federal discretionary grant program rather than a State-administered program suggest interpretation as only a demonstration program.

The question of transition versus maintenance was debated at considerable length during Congressional hearings on the legislation in 1974. The result was that while the new law retained the emphasis on transition it was not so specific as to rule out a maintenance approach. Thus, the law speaks of enabling children to achieve competence in English (and does not say the same about other languages) and defines a bilingual program as one in which the native language is used to the extent necessary to allow a child to progress effectively through the educational system. However, the term transition is never used and the notion of a child leaving a bilingual program after acquiring English competence is not explicitly in the law.

Program Operations:

In general, the Bilingual Education Program awards forward-funded discretionary grants on a competitive basis to local educational agencies, institutions of higher education, and Resource and Materials Development, and contracts with State Educational Agencies. Although the majority of grants are for multiple years, grant awards are made for a one year duration--with continuation awards for subsequent years subject to satisfactory performance and availability of funds in future fiscal years.

The Office of Bilingual Education administers the ESEA Title VII Bilingual Education Program and funds five categories of sub-programs: Basic Programs of Bilingual Education, Support Services, Teacher Training Programs, Fellowship Programs, and Technical Assistance Programs operated by State Educational Agencies.

Basic Programs: A Basic Program grant is awarded to local educational agencies (or institutions of higher education applying jointly with local educational agencies) for the establishment of: bilingual education programs in elementary or secondary schools; training programs for bilingual education personnel; preschool bilingual education programs; and adult bilingual education programs.

Support Services: Support Services grants are made to three types of centers -- Training Resource Centers, Materials Development Centers, and Dissemination and Assessment Centers.

1. Training Resource Centers: Those eligible for funding are local educational agencies, State educational agencies, and institutions of higher education applying either jointly or after consultation with local educational agencies. Activities authorized under this grant include the training of teachers, administrators, paraprofessionals, teacher aides, parents, and among other persons associated with a bilingual education program in (a) the use of bilingual education practices and materials -- including the field-testing of materials, (b) procedures for involving parents and community organizations in bilingual education programs, and (c) procedures for evaluating the impact of bilingual education programs.
2. Materials Development Centers: Those eligible for funding are local educational agencies or institutions of higher education applying jointly with local educational agencies. Authorized activities are (a) the development of instructional and testing materials for use with bilingual education programs, and (b) the development of instructional materials for use by institutions of higher education in preparing teachers and auxiliary personnel for bilingual education programs.
3. Dissemination and Assessment Centers: Those eligible for funding are local educational agencies or institutions of higher education applying jointly with local education agencies. Authorized activities include (a) the publication and distribution of instructional and testing materials for use in bilingual education programs of local educational agencies or institutions of higher education, and (b) assessment of the need, effectiveness, and applicability of materials and test instruments for bilingual education programs.
4. Other Support Services: Funding is also provided for National Information Clearinghouse, a Bilingual Advisory Council, and model replication and studies

Training Programs:

Eligible applicants for a Training Program grant are local Educational agencies, State educational agencies, and institutions of higher education applying either jointly or after consultation with local education agencies. Funding to State educational agencies is limited to 15 per cent of all training funds to Centers, local educational agencies, and institutions of higher education. Authorized activities include (a) training programs for teachers, administrators, paraprofessionals, teacher aides, and parents associated with programs of bilingual education, (b) programs to train personnel who will subsequently train those involved with programs of bilingual education, and (c) programs which encourage reform, innovation, and improvement in educational curricula, graduate education, structure of academic profession, and the recruitment and retention of higher education and graduate school faculties.

Fellowships for Preparation of Teacher-Trainers:

Fellowships authorized under this program are restricted to full-time students enrolled in a program which trains them to be the trainers of teachers within bilingual education programs. Graduates of this post-baccalaureate fellowship program should be able to train teachers capable subsequently of (a) teaching elementary and secondary school courses in both English and another language, and (b) selecting and using appropriate test instruments for measuring the educational achievement of students of limited English-speaking ability.

Technical Assistance Programs by State Educational Agencies

A State educational agency (in a State where programs of bilingual education operated during the fiscal year preceding the fiscal year for which assistance is sought) may submit a grant application to provide technical assistance to local educational agencies in conducting programs of bilingual education. The grant of any State may not exceed 5% of the total amount paid to local educational agencies in the same State. Technical assistance may take the following forms:

a. monitoring programs of bilingual education;
b. evaluating the impact of bilingual education programs;
c. facilitating exchange of information among bilingual programs;
d. disseminating to local educational agencies sample copies of materials acquired by the State educational agency.

Finally, The Commissioner of Education is authorized to make payments to the Secretary of the Interior for bilingual education projects to serve children on reservations having elementary and secondary schools for Indian children operated or funded by the Department of the Interior.

Program Scope:

	FY 1977		FY 1978	
	Funding	Awards	Funding	Awards
Basic LEA Grants	$74,300,000	514	$81,000,000	539
Training				
Inservice	11,425,000	35,000	12,975,000	38,000
Fellowships	4,000,000	525	5,000,000	625
Resource Centers	5,000,000	15	8,000,000	20
Professional Development	9,275,000	750	11,000,000	925
Support Services				
Materials Development and Dissemination-Assessment Centers	7,000,000	17	10,000,000	17
Grants to SEA's (Techncical Assistance)	3,900,000	40	4,375,000	44
National Advisory Council	100,000	1	150,000	1
Information Clearinghouse	167,000	1	500,000	1
Model Replication and Studies Dissemination	--------		2,000,000	—
Total	115,167,000		135,000,000	

Program Effectiveness and Progress

As noted, the bilingual education program has multiple objectives. Information on each of the objectives is first summarized and then more detailed results from recently completed evaluations are reported.

Several studies have indicated that there are not enough qualified bilingual teachers to provide bilingual education to all limited-English-speaking children. To date, however, there has been no assessment of the extent to which the teacher shortage has been solved by the Federal program. Studies also indicate shortages of instructional materials for most languages but there has been no overall determination of the extent to which Title VII efforts are remediating the situation. (An on-going review of material availability will be completed in June 1978.)

With respect to classroom projects supported by Title VII, two kinds of findings have recently been reported: those having to do with the complex process of establishing bilingual education projects in local school districts and those demonstrating the impact of such projects on participating children. Briefly the conclusion is that Title VII projects experience many implementation problems especially because of the shortages of teachers, materials and insructional models to follow. Also the proportion of children participating in Spanich/English projects who are English-dominant is larger than might be expected based upon the objectives of the law. With respect to academic achievement in Spanish/English projects, evaluation results indicate unfavorable outcomes in both English language arts and in math computations. More detailed results are given below. Also the results from a State bilingual education program, while not a Federal evaluation *per se*, are summarized in an addendum.

Initiation and Administration of Local Bilingual Projects

Political response to limited English-speaking constituents and desires to quality for additional funds appear to be the motivating factors for initiation of local bilingual education projects. (5) Administrative considerations soon follow: questions related to organization, staffing, budget, social priorities, etc. Thus, the perceived educational needs of limited-English-speaking students which originally prompted project application soon became subsumed under political and administrative concerns, and the educational merit of bilingual education is no longer a prominent factor. Generally, within any given ethnic group, constituents want bilingual programs to serve only ethnic children; moreover, they prefer that all given ethnic children be served -- not just those deficient in English.

As local projects gain operational experience with bilingual education, implementation problems appear -- those concerned especially with shortages of qualified teachers, adequate curriculum materials, and exemplary instructional models. For example, although Spanish language materials may often not be plentiful, local projects tend to under-utilize commercial materials even when available. Dissemination of ideas and exchange of curriculum materials are partically non-existent and districts often develop their own approaches.

The question of whether local projects should be a "transition" (to English) program or a "maintenance" (of the home language and culture) approach is the one most important issue for local projects. Most projects went beyond a simple transition approach as attested to be the findings that less than one-third of the students enrolled in the Title VII Spanish/English classrooms in grades 2 through 6 were of limited English-speaking ability. Only 5% of the project directors indicated that a student is transferred to an English-only classroom once the student learns English well enough to function in school.

Student Participation

It has been estimated that approximately 80% of the students enrolled in bilingual education programs are of Hispanic origin and that less than half of the ottal number of limited-English-speaking children are being served by bilingual programs (1,2,3,4). Unfortunately, a valid, standard method for identifying non-English- or limited-English-speaking students is not yet available, and among the various States only three (California, Colorado and Michigan) test students to identify limited English-speaking ability (7).

Per Pupil Cost

For students enrolled in the Title VII projects, per pupil expenditures from Title VII funds ranged from $150 to $739 with an average of $310. Considering all sources of funds, the per pupil cost for Title VII students ranged from $1127 to $2120 with an average of $1398. The total per pupil cost for non-Title VII students ranged from $992 to $1354 with an average of $1022 (1,2,3,4).

Impact on Students

According to results from a study (1,2,3,4) of ESEA Title VII Spanish/English bilingual education projects in their fourth or fifth year of funding (as of 1974) were participating students in grades 2 through 6 were pretested in fall 1975, posttested in spring 1976, and retested in fall 1976, Spanish-speaking students were generally achieving at the 20th to 25th percentile in English language arts and at the 30th percentile in mathematics computation. In mathematics, Title VII and comparable non-Title VII students were performing generally equally well at all grades tested; in English language arts, Title VII students were performing generally more poorly. While no appropriate test norms or comparison groups were available to assess the relative impact of Title VII on the acquisition of Spanish reading skills, there was an increase in the Spanish reading test scores between the pretest and posttest in the 1975-76 school year for Title VII students.

ONGOING AND PLANNED EVALUATION STUDIES

A Study of Bilingual Education Material Development

The purpose of this study is to determine the status of development of curriculum materials for children of limited English-speaking ability and to analyze the process by which these materials are introduced into the classroom. They study will include curriculum materials for grades pre-K to 12, in 12 language groups -- Spanish, French, Portguese, Italian, Japanese, Vietnamese, Korean, Filipino, Native American (inlcuding Eskimo), Greek, and Haitian French. The final report is due June 1978.

Evaluation of Bilingual Project Implementation Via Project-Information Packages

Between 1974 and 1976, the U.S. Office of Education developed four Project Information Packages(PIP's) for bilingual education projects. Three PIP's were for Spanish/English bilingual education projects and the fourth for French/English. A PIP provides an adopting school district with guides, manuals, and other materials fully describing the instructional and management activities necessary for project success. The PIP materials are designed to provide enough detail to enable adopting school districts to carry out all aspects of planning, starting, and operating a bilingual education project. The goals of the study are: (a) determine the effectiveness of the PIP's in assisting school districts select and implement the bilingual education projects they describe, (b) determine the effectiveness of the projects implemented via the PIP's in improving student achievement and attitude, (c) identify and analyze implementation probelms encountered by school districts, and (d) revise the PIP's on the basis of user input and problems identified. The final report is scheduled for completion in December 1979.

ADDENDUM: A STUDY OF STATE PROGRAMS IN BILINGUAL EDUCATION

The study of State programs in bilingual education was designed to describe and analyze State and extra-State (e.g.,, American Soma) programs in bilingual education for students of limited English-speaking ability. Topics included in the analysis were the authorizing legislation, procedures used to identify program goals and objectives, mandated or prohibited appoaches/practices, and program requirements as, for example, staff qualifications, training activities, materials, and student/teacher ratios. The contractor for the project was Development Associates, Inc., of Washington, D.C. The project was begun in summer 1975.

Findings

State Legislation

- As of December 1976, 10 States have adopted mandatory bilingual instruction and 16 States have legislation specifically permitting bilingual instruction. Fourteen States are silent on bilingual education but 11 of these have implemented bilingual education projects during FY 1976.

- LEAs in 10 States were prohibited by law from giving classroon instruction in any language but English. However, some of these States chose not to enforce this prohibition; for example, four allowed the operation of Title VII (Bilingual Education Act) projects.

- The five most frequent requirements or provisions of State legislated bilingual education programs are:

    - Implementation of "transitional" bilingual instruction programs (17 States)

    - Establishing special qualifications for the certification of bilingual education teachers (13 States)

    - Providing local educational agencies with supplementary funds in support of bilingual education (13 States)

    - Mandating a cultural component in bilingual instruction programs (13 States)

Funding

- Of the 19 States operating State bilingual education programs in the 1975-76 school year, 16 appropriated funds specifically for bilingual education. The financial support reported by these States varied greatly from $19 per student to $431 per student.

- All 16 of the States which financially supported bilingual education programs operate direct service programs in contrast to demonstration or experimental programs.

- Only four States and one extra-State juridiction reported having allocated more State funds for bilingual education than they received from the Federal government during the 1975-1976 school year (Colorado, Illinois, Massachusetts, Utah, and Puerto Rico).

- Funding of bilingual education projects at the school district level is varied. Rarely are local projects supported from just one source of funds. In addition to local and State funds, 18 Federal programs provided some financial support to bilingual education projects.

- Ninety percent of Federal funds supporting bilingual education are provided through ESEA Title I and ESEA Title VII funds (37 percent, and 53 percent, respectively.)

Students, Teachers and Curriculum Materials

- Methods used in identifying students of limited English-speaking ability (LESA) are inadequate. In general, neither a yearly LESA student census nor a standard method for identifying LESA students is required.

- Twenty-two States reported over 1.3 million students as limited-English speakers and therefore eligible for, or in need of, bilingual education. Of these, approximately 500,000 students (40 percent) were enrolled in bilingual instruction programs.

- Nine of the 40 States permitting bilingual instruction in their schools authorize studentes in non-profit, non-public schools to participate in their bilingual instruction program. Seven States do not permit participation; three States indicated that participation is unconstitutional and the others did not respond to the question.

- Fifteen of the 20 States visited reported that there is a considerable shortage of qualified bilingual education teachers. SEAs and LEAs are actively working with university-level teacher-training institutions to alleviate this shortage.

- Bilingual education materials in the non-Spanish languages were generally not available. Even for Spanish, in many instances such materials were not readily available, were inappropriate, or knowledge of their existence was limited. Dissemination of bilingual curriculum materials were generally limited.

Extra-State Jurisdictions

- The extra-State jurisdictions of Samoa, Guam, Puerto Rico, the Virgin Islands and the Trust Territory of the Pacific Islands view the Federal bilingual education program as a "mixed blessing": they agree it has helped their educational effort but feel that greater flexibility is needed for the eduational situations of the island peoples who have cultural, language and administrative traditions widely different from those on the mainland.

State Administration

- The level of financial management and technical support provided by States for bilingual education varies widely.
- Collectively, State education agencies currently play a minor but growing role in bilingual education.
- Only 13 SEAs had full-time personnel involved in bilingual education and only 8 had three or more staff members so involved.
- Twenty-nine SEAs provided some degree of technical assistance to LEAs on bilingual education matters.
- Fourteen States impose special requirements for the qualification of bilingual education instructional personnel. The most common requirement was fluency in the second language of the program.

Summary

On the whole, States are playing a limited but growing role in bilingual education. The number of States which mandate or permit bilingual education has grown to 40. State financial support is still quite limited, however; in most States, Federal funds for bilingual education exceeded State funds. With a few exceptions, the number of State education agency personnel involved in bilingual education is small and, consequently, provision for State-wide leadership and technical assistance to local school districts is limited.

Sources of Evaluation Data:

1. American Institute for Research. Evaluation of the impact of ESEA Title VII Spanish/English Bilingual Education Program. Volume I: design and interim findings. February 1977.
2. American Institues for Research. Evaluation of the impact of ESEA Title VII Spanish/English Bilingual Education Program. Volume II: Project descriptions. February 1977.
3. American Institutes for Research. Evaluation of the impact of ESEA Title VII Spanish/English Bilingual Education Program. Volume III: Year Two Impact Data, Educational Process, and In-Depth Analyses.
4. American Institutes for Research. Evaluation of the impact of ESEA Title VII Spanish/English Bilingual Education Program: Overview of Study and Findings. March 1978
5. Summer, G. and G. Zellman. Federal programs supporting educational change. Volume VI: Implementing and sustaining Title VII bilingual projects. The RAND Corporation, January 1977.
6. Comptroller General of the United States. Bilingual education: an unmet need. Washington, D.C.: United States General Accounting Office, 1976.
7. Development Associates, Inc. Final Report: A study of state programs bilingual education. March 1977

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Follow Through

Legislation:

Community Services Act of 1974 (P.L. 93-644)
as amended by the Economic Opportunity Amendments
of 1978 (P.L. 95-568)

Expiration Date:

October 1981

Funding History	Year	Authorization 1/	Appropriation
	1968		$15,000,000
	1969		32,000,000
	1970		70,300,000
	1971	70,000,000	69,000,000
	1972	70,000,000	63,060,000
	1973	70,000,000	57,700,000
	1974	70,000,000	53,000,000
	1975	69,000,000	55,500,000
	1976	60,000,000	59,000,000
	1977	60,000,000	59,000,000
	1978	60,000,000	59,000,000
	1979	70,000,000	59,000,000 2/

Program Goals and Objectives

According to the authorizing legislation, Follow Through Program provides "financial assistance to local educational agencies, combinations of such agencies and any other public or appropriate nonprofit private agencies, organization, and institutions for the purpose of carrying out Follow Through programs focused primarily on children from low-income families in kindergarten and primary grades, including such children enrolled in private nonprofit elementary schools, who were previously enrolled in Headstart or similar programs." Further, the legislation provides that projects must provide comprehensive services which, in the judgment of the Secretary, will aid the continued development of the children.

Follow Through is defined in its regulations as "an experimental community services program designed to assist, in a research setting, the overall development of children enrolled in kindergarten through third grade from low-income families, and to amplify the educational gains made by such children in Headstart and other similar quality preschool programs by (a) implementing innovative educational approaches, (b) providing comprehensive services and special activities in the areas of physical and mental health, social services, nutrition, and such other areas

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1/ An authorization level was not specified prior to FY 71.

2/ Specified by a continuing resolution for FY 79 rather than by appropriation; re-authorizing legislation for FT had not been passed at the time of the HEW appropriations for FY 79.

which supplement basic services already available within the school system, (c) conducting the program in a context of effective community service and parental involvement, and (d) providing documentation on those models which are found to be effective."

Comprehensive services and parental involvement are required in all projects. The experimental feature of the program is the implementation of a variety of educational models. These models are sponsored by university or research institutions that have designed approaches to early childhood education. These sponsors are responsible for delivering and installing their models at local sites; providing for continuous technical assistance; teacher training; guidance; and quality control. The focus of the experiment is upon the relative effectiveness of the alternative educational models. Whatever the specific results, the overall goal is to add to our knowledge about what works and what does not work for children from low-income families.

Program Operations:

The Follow Through program operates out of two offices. The responsibility for monitoring the projects, the model sponsors, and related activities lies with the Division of Follow Through while the responsibility for monitoring evaluation activities lies with the Office of Evaluation and Dissemination.

The major portion approximately (79 percent) of the Follow Through FY 1978 appropriation is used to fund 159 local projects which maintain educational models and provide a variety of non-instructional services to children.

The next largest portion approximately (10 percent) of the Follow Through appropriation goes to model sponsors.

Approximately 5 percent of the Follow Through appropriation is being spent to fund expanded demonstration activities in twenty-one sites judged exemplary by the OE/NIE Joint Dissemination Review Panel.

About 3 per cent of the Follow Through appropriation is spent on evaluation. The remaining 3 percent of the Follow Through monies is used for program related activities such as supplementary training of para-professionals, grants to states to provide techncial assistance to local school districts operating Follow Through projects, and for hiring subject specialists to provide technical assistance to Follow Through projects.

The 159 projects and the 19 sponsors receiving Follow Through funds were selected between 1967 and 1972. Each year the LEAs and the sponsors submit proposals for continuation of grants to USOE.

Program Scope:

In FY 1978, more than 70,500 Follow Through children kindergarten through third grade received instructional and other services at more than 600 elementary schools in 159 projects across the country. The program emphasizes community and parental involvement and encourages the focusing of available local, State, private, and Federal resources on the needs of Follow Through children. The Follow Through program is comprehensive in scope and encompasses instructional and non-instructional services. On the average, including state, local and federal sources, almost $800 more per pupil was spent to educate Follow Through children than local non-Follow Through children in 1976. The largest portion (63%) went for salaries of LEA staff such as teacher aides, project directors, and teachers. Of the remainder, 19% was spent on providing comprehensive services, 13% on model sponsors, and 5% on facilities and materials.

Program Effectiveness and Progress:

As an experimental research program, the goal of the Follow Through program is to identify effective approaches for the education of low-income children in kindergarten through third grade. Follow Through children, grouped at the site level, were compared to similar children in order to estimate incremental effects of the various models. The comparison children often received supplementary services such as provided by ESEA Title I. Of the 22 early elementary school approaches tried, the Direct Instruction Model, sponsored by the University of Oregon, was more successful on most measures than the other approaches; however, even that model was not uniformly successful in all sites. Several other models showed some success on some measures in some sites. In many cases and for most models the results were inconclusive either because the evidence was not conclusive enough to permit judgments to be made or because the evidence was mixed (i.e., the results were positive in some sites, negative in some and neutral elsewhere).

The foregoing summary of the results of the Follow Through evaluation is based upon national, local and sponsor evaluations. The effects of the models on children were assessed on a variety of measures including reading, mathematics, spelling, language arts, abstract reasoning, and self-esteem. In most of the evaluations, the performance of children in Follow Through was compared to children of similar socio-ecnomic status who did not participate in Follow Through. In the national evaluation, which concentrated on 16 models, the performance of children who participated in the full Follow Through Program was compared with matched samples who did not receive Follow Through.

Most of the results focus upon the benefits or deficiencies of individual models and are not easily summarized. However, some generalizations are offered below:

The effectiveness of most models varied substantially from site to site. Most models have instances of both success and failure at the school district level. This may indicate that instructional approaches can account for only a limited amount of variation in school outcomes. Many other factors, including ones outside the control of the schools, influence the learning process. There is also the possibility that desegregation and declining pupil enrollment, with attendant teacher and student transience, may have vitiated model effects. Also, the degree of model implementation was not rigorously assessed to determine if the models were well implemented. These factors may have contributed in part to the site-to-site variation which lessens the strength of conclusions which can be drawn about the effectiveness of specific educational approaches.

Some LEA/sponsor collaborations have been judged successful at the local level. These specific projects are being funded as resource centers in FY 1978.

Most special instructional approaches and supplementary services for disadvantaged children in Follow Through do not seem superior to other service programs (i.e., ESEA Title I) as measured by standardized tests of educational performance. The Follow Through data suggests that instructional approaches do not differ widely in their impact upon children's test scores, but when they do, the differences are somewhat more likely to favor the more structured approaches.

Educational approaches which stress that children should have a substantial role in choosing their activities and that the teacher's role should be less overtly directive tend to compare poorly with non-Follow Through approaches. Advocates of these approaches ususally believe that children from the "child-centered" classrooms excel in areas not measured by instruments like those used in the Follow Through experiment or that effects will be evident in later years. What does seem evident is that students in the "child-centered" classroom generally do not out-perform non-Follow Through children on the traditional types of standardized tests. Some child-centered models have been successful on sponsor developed instruments.

Sources of Evaluation Data:

The Follow Through Planned Variation Experiment

Volume I. A Synthesis of Findings. Washington, D.C.: DHEW USOE, in press.

Volume II-A. National Evaluation: Patterns of Effects. Cambridge: ABT Associates, Inc., 1977.

Volume II-B. National Evaluation: Detailed Effects. Cambridge: ABT Associates, Inc., 1977.

Volume II-C. National Evaluation: Detailed Effects. Cambridge: ABT Associates, Inc., 1977.

Volume II-C. Appendix. Cambridge: ABT Associates, Inc., 1977.

Volume III. Sponsor Evaluation: Patterns of Effects. Washington, D.C.: Follow Through Sponsors, in press.

Volume IV. Cost Analysis. Bethesda, Maryland: RMC Research Corporation, 1977.

Volume V. A Technical History of the National Follow Through Evaluation. Cambridge: The Huron Institute, 1977.

Volume V. Appendix. Cambridge: The Huron Institute, 1977.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA):
Maintenance and Operations

Legislation:

PL 81-874, as amended
by PL 95-561

Expiration Date:

September 30, 1978 1/

Funding History	Year	Authorization	Appropriation
	1970	$1,150,000,000	$505,400,000
	1971	935,295,000	536,068,000
	1972	1,024,000,000	592,580,000
	1973	1,025,000,000	635,495,000
	1974	989,391,000	574,416,000
	1975	980,000,000	636,016,000
	1976	995,000,000	684,000,000
	Transition Quarter		70,000,000 2/
	1977	1,090,192,000 3/	768,000,000
	1978	1,198,950,000 3/	770,000,000
	1979	1,293,400,000	786,100,000

Program Goals and Objectives

PL 81-874 provides assistance to local school districts for current operating costs of educating children in areas where enrollments and local revenues are affected by Federal activities. The purpose of the legislation is to minimize the fiscal inequities caused by both the presence of tax-exempt Federal lands and the burden of providing public school education to children who reside on Federal property or have a parent who is either employed on Federal property or a member of one of the uniformed services. The law also provides for the full cost of educating children residing on Federal property when State law prohibits the expenditure of State funds for the schooling of such children or where no local education agency is able to provide suitable free public education. Assistance is also authorized for schools damaged in major or pinpoint disasters. Indian Lands and low-rent housing are included in eligible Federal property under this law.

1/ Provisions pertaining to "A" category pupils and children attending schools on Federal installations are permanent. PL 95-561 extended the program through September 30, 1983.

2/ Includes $15 million in Transition Quarter funds for fiscal year 1977 start up costs.

3/ Does not include disaster provisions.

PL 874 is the closest approximation to general aid from the Federal Government available to eligible school districts. In general, SAFA funds become part of the general operating accounts of LEAs. However, PL 93-380 incorporated two exceptions for (a) handicapped children of military personnel and handicapped children residing on Indian lands (funds which must be used for special programs to meet the needs of these children) and (b) children from public housing (funds which must be used for ESEA Title I-type programs).

Program Operations

Payments are made directly to local education agencies (or to Federal agencies where they are operating schools). An entitlement is the product of the number of federally connected pupils and a percentage of an agency's local contribution rate (LCR) and is intended to compensate for the burden imposed by the various types of federally connected children at a rate which approximates locally raised educational costs. The local contribution rate may be based either on comparable districts' per pupil costs derived from local revenues, or alternatively, a minimum rate of the greater of one-half the State or national average per pupil cost.

The percentage of the local contribution rate to which an agency is entitled varies for over a dozen subcategories of federally connected children within the broad "A" (children whose parents live and work on Federal property) and "B" (children whose parents live or work on Federal property but not both) classifications. This reflects the notion that different types of federally connected children impose differing degrees of burden on the districts. Federally connected children are classified according to residence and employment of a parent.

Applications for payments are submitted to the Commissoner through the State education agency which certifies that information in the local application is accurate insofar as records in State offices are concerned.

There are five principal changes in the Impact Aid Program brought about by the Education Amendments of 1974 (PL 93-380). These are:

(1) The introduction of the "tier system" which directs the method pro-rating funds among districts when the program is not fully funded and assures that payments will be made for public housing children.

(2) The elimination of entitlements for children whose parents work outside the State in which the impacted district is located.

(3) The lowering of entitlements for children whose parents work outside the county in which the local educational agency is located.

(4) The requirement that some school districts must absorb the entire cost of educating a number of their "B" children.

(5) The prohibition of a State from counting Impact Aid payments as local revenue in determining a local school district's eligibility for or share in a State aid program was waived if the State has a program which equalizes expenditures among the districts.

In addition to the above program changes four "hold harmless" provisions to limit reductions in impact aid payments were included. Besides a general hold harmless which applies to any reductions in payments, three others were directed at specific reforms or conditions. One of these limits reductions resulting from entitlement changes for out-of-county and out-of-State "B" children. Another partially offsets reductions in payments for other categories of children resulting from the funding of public housing children. There is also a hold harmless to prevent large losses in payments as a result of specific military base closings.

Program Scope

In 1978, awards were made to approximately 4,300 school districts on the basis of 2,190,000 school children. Included were payments to other Federal agencies maintaining schools for 40,000 pupils. Since the funds are available for the general operating accounts of school districts, some or all of the 24 million children enrolled in SAFA-aided school districts could conceivably benefit from the aid provided by the program. Funds were provided for disaster assistance in Fiscal Year 1978 in the amount of $13 million.

Federal payments on the average represented about 2 percent of the total operating costs of eligible districts in 1978, with a range of less than 1 percent to more than 90 percent.

Program Effectiveness and Progress:

The most extensive assessments of the Impact Aid Program include a 1965 evaluation conducted by the Stanford Research Institute, a 1969 study by the Battelle Memorial Institute, a 1976 report by the General Accounting Office, and a 1978 assessment of the program by DHEW. Each of the studies concentrated on what are, under the current law, Sections 3(a), 3(b), and 5. None of these studies found fault with the basic structure of the program--providing payments for federally connected children and distinguishing between "A" and "B" children. However, all the studies found aspects of the program which limit its effectiveness in compensating for federally imposed burdens. Since many of the previous studies' results are consistent with the 1978 DHEW study, only the findings of this most recent study are described. Furthermore, the DHEW study uses data collected subsequent to program changes resulting from the Education Amendments of 1974 and therefore is able to evaluate the effects of these amendments.

The DHEW study addressed three major issues:

- Are school districts adequately compensated for federally imposed burdens?
- Are Impact Aid funds equitably distributed in terms of district needs and Federal impact?
- Does Impact Aid intefere with State equalization programs?

The study's findings:

(1) Compensation for federally imposed burdens can be excessive when compensation is based on:

   a) Payments for out-of-county "B" children.
   b) Public housing payments.
   c) The comparable district method of calculating local contribution rates.
   d) The minimum rate of one-half the national average per pupil expenditures.

(2) Program funds may be considered to be inequitably distributed or inefficiently targeted to the extent that:

   a) Nearly 20 percent of Impact Aid funds are paid to over 2,500 low impact districts with fewer than 10 percent federally connected children.

b) The low impact districts could adjust to the elimination or reduction in payments with only minor increases in tax rates.

c) Heavily impacted districts, those with federal enrollments of 50% or more, show real evidence of burden from Federal activity. These districts' property wealth is only about one-half their respective State average and, hence, are much more deserving of compensation than lightly impacted districts.

(3) Impact Aid payments are minimally integrated with State equalization programs because:

a) The equalization standards which States must pass to treat impact aid as local revenues are difficult to meet.

b) The program does not give States an incentive to reform their finances.

c) The program fails to give States which have made a modest start towards equalization an opportunity to achieve further gains by offsetting payments to relatively wealthy districts.

The preceding results suggest that in Fiscal Year 1976 the Impact Aid reforms of 1974 were only partially successful in addressing most "pre-reform" criticisms of the program. Nonetheless, the DHEW study found that if the 1974 reform hold harmless provisions were dropped and the absorption component were fully operational, this "fully reformed" program funded through tier 2 would improve targeting of funds because:

a) Lightly impacted districts (less than 5% federally connected pupils) would experience a fall in their share of dollars from 12.7% to 5.5 percent.

b) Districts in the first and second heaviest impact categories (75-100% and 50-74% federally connected pupils respectively) would experience share increases of about 20 and 14 percent, respectively.

c) Per pupil rates would have risen for the two most heavily impacted categories but would have declined for all others.

d) There would have been a 14.0% reduction in total "B" category payments with total "A" payments rising 23%, enough to offset "B" category losses and keep total per pupil payment rates at the pre-reform levels.

Additional changes which would more equitably compensate districts for genuine Federal burdens suggested by the DHEW study include:

(1) Elimination of out-of-county payments and/or payments for public housing children.

(2) Calculating the LCR based on a State's locally derived expenditures per pupil or one-half the State average expenditures.

(3) Extending absorption to all districts.

(4) Permitting States in distributing equalization payments to offset Impact Aid payments at the maximum rate (i.e., that rate equal to the proportion of local revenues under the State equalization program to total local revenues) for all districts whose per pupil wealth exceeds the State average by 25% or more. States would be permitted to do this whether or not they pass the equalization standards.

The DHEW study indicates that the above described changes would produce budgetary reductions which have the salient feature of affecting heavily impacted and property poor districts least and lightly impacted and property rich districts most. In addition the changes reduce the need for the tier system which if eliminated would result in an administratively simplified program.

Ongoing and Planned Evaluation Studies

The Office of Education may conduct two studies of the Impact Aid program in FY 80. The purpose of one of the studies will be to analyze the current impact aid payments method in light of (a) equalization goals, (b) changes in State school finance programs, and (c) principals of fiscal federalism. The purpose of the other study will be: (1) to determine the extent to which Congressional intent is being achieved, (2) to identify school finance inequities which may result from the presence of Federal property or Federally connected pupils (either because of provisions of PL 81-874 or for other reasons), and (3) to examine the administration of the program to see if any changes are advisable.

Sources of Evaluation Data

Stanford Research Institute. Effects of Federal Installation Phase-outs Upon School Districts. Menlo Park, California: Stanford Research Institute, 1965.

Battelle Memorial Institute. School Assistance in Federally Affected Areas: Study of Public Laws 81-874 and 81-815, published by Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970.

Commissioner of Education, U.S. Department of Health, Education and Welfare, Administration of Public Laws 81-874 and 81-815. GPO, 1976.

Comptroller General of the United States, Assessment of the Impact Aid Program. Report to the House Committee on Education and Labor, October 15, 1976.

L.L. Brown, et al., Office of the Assistant Secretary for Planning and Evaluation, Education, Planning Staff, U.S. Department of Health, Education and Welfare, Impact Aid Two Years Later, March 15, 1978.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA): Construction

Legislation:	Expiration Date:
Public Law 81-815, as amended by Public Law 95-561	June 30, 1983 1/

Funding History:	Year	Authorization	Appropriation
	1970	$ 80,407,000	$15,181,000
	1971	83,000,000	15,000,000
	1972	91,250,000	20,040,000
	1973	72,000,000	15,910,000
	1974	72,000,000	19,000,000
	1975	72,000,000	20,000,000
	1976	70,000,000	20,000,000
	1977	70,000,000	25,000,000
	1978	70,000,000	30,000,000
	1979	70,000,000	30,000,000

Program Goals and Objectives:

Public Law 81-815 is designed to provide local education agencies with financial aid for school construction under specified conditions: for construction of urgently needed minimum school facilities in school districts which have had substantial increases in school membership as a result of new or increased Federal activities (Section 5); where provision of the non-Federal share of construction imposes a financial hardship (Section 8); and for the construction of temporary school facilities where a Federal impact is expected to be temporary (Section 9). The law also directs the Commissioner to make arrangements for providing minimum school facilities for federally-connected children if no tax revenues of the State or its political subdivisions may be spent for their education or if the Commissioner finds that no local education agency is able to provide a suitable free public education (Section 10). Assistance is authorized for construction of minimum school facilities in local education agencies serving children residing on Indian lands by Sections (14(a) and 14(b), and Section 14(c) authorizes assistance to financially distressed local education agencies which have substantial Federal lands and substantial numbers of unhoused pupils. Emergency aid is available

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1/ Provisions pertaining to Section 5(a)(1) pupils and Sections 10 and 14 are permanent.

to LEAs for the reconstruction of school facilities destroyed or seriously damaged in school districts located in declared major disaster areas and in certain districts affected by a pinpoint disaster (Section 16).

Since Fiscal Year 1967, appropriations for Public Law 81-815 have been substantially below the amounts required for funding of all qualified applicants under the law. The basic law requires that disaster assistance under Section 16 be funded from available funds (these payments may then be covered by supplemental appropriation requests) and that Section 9 (temporary Federal impact), 10 (school construction on Federal property), and 14(a) and (b) (children residing on Indian lands) will receive priority over other provisions. The law requires that eligible applications be ranked within each section on the basis of relative urgency of need and that available funds be assigned on this basis. The ranking by relative urgency of need is based on the percentage of federally connected children eligible for payment in a school district and the percentage of "unhoused" pupils in the district. "Unhoused" pupils are those in membership in the schools of a district over and above normal capacity of available and usable minimum school facilities.

Program Operations

All grants are made to qualified school districts on the basis of applications. The amount of payment to a LEA under Section 5 varies from 95 percent of the average State pupil cost for construction for increases in the number of children residing on Federal property to 50 percent for increases in the number of children residing with a parent employed on Federal property or on active duty in the uniformed services, to 45 percent for increases resulting from Federal activities carried on either directly or through a contractor. Grants are further limited to actual cost of providing minimum school facilities for children who would otherwise be without such facilities. Full costs of construction are authorized for temporary facilities required as a result of Federal activities and for facilities which local education agencies are unable to provide for children residing on Federal property. For children residing on Indian lands, grants are based on needs of the school district for providing minimum school facilities.

In recent years, appropriation language has directed available funds toward the most urgent needs for school facilities. Funds have been directed toward high priority projects under Section 5 (heavily impacted local school districts), Section 9 (facilities needed for temporary Federal impact), Section 10 (schools on Federal property), Section 14 (schools for children residing on Indian lands). The legislative allocation for Fiscal Year 1978 was as follows:

Section	5	$ 4.0 million
Section	9	5.0 million
Section	10	10.5 million
		10.5 million
		$30.0 million

A review of needs of facilities on Federal property to meet handicapped access and health and safety requirements was completed and funds were reserved to bring existing facilities into compliance with these requirements.

Program Scope

Since 1951, Public Law 815 has provided more than $1.5 billion for school construction to house more than 2 million pupils. Funding history for the past 10 years is as follows: 1/

Section and Fiscal Year	Number of Projects	Amount of Funds Reserved 1/	Number of Classrooms	Pupils Housed
Section 5, 8, 9				
1969	123	$69,803,905	2,416	98,390
1970	69	1,004,911	7,801	247,770
1971	3	568,915	277	6,335
1972	0	0	116	3,480
1973	9	9,355,242	193	5,145
1974	23	17,319,924	223	6,223
1975	3	7,404,240	94	2,768
1976	3	3,628,787	50	1,470
1977	4	5,500,000	250	7,000
1978	8	5,000,000	40	1,000
Section 14				
1969	11	2,071,858	20	505
1970	0	2,603,869	0	0
1971	4	4,346,095	30	597
1972	1	2,448,601	5	162
1973	1	930,000	10	120
1974	8	9,639,583	135	2,981
1975	0	8,073,672	0	0
1976	0	7,229,686	0	0
1977	9	7,100,000	250	7,000
1978	1	10,500,000	20	450

Section and Fiscal Year	Number of Projects	Amount of Funds Reserved	Number of Classrooms	Pupils Housed
Section 10				
1969	20	$ 14,469,886	137	3,704
1970	11	1,166,197	37	746
1971	14	12,651,927	55	4,152
1972	9	10,151,252	99	2,390
1973	1	18,000	0	0
1974	6	505,690	3	70
1975	0	811,291	0	0
1976	0	6,207,689	0	0
1977	9	4,900,000	0	0
1978	25	8,500,000	0	0 2/

1/ Funds reserved in one year pay for costs of projects initiated in prior years as well as costs of new projects. Classrooms and pupils housed reflect project completions during the year, for which most of the costs would have been reserved in prior years.

2/ In Fiscal Year 1978, funding incorporated requirement for handicapped access and life safety requirements in existing facilities.

In addition, more than $31 million has been obligated to reconstruct school facilities destroyed or seriously damaged by a major disaster since such assistance was first authorized in Fiscal Year 1966.

Program Effectiveness and Progress

A backlog of eligible applications has accumulated since 1967, when appropriations were no longer adequate fully to fund all of them. At the close of Fiscal Year 1977, this backlog was estimated at $875 million, as follows:

Section 5	$125 million
Section 10	200 million
Section 14	550 million
	$875 million

In recent years, available funds have been directed toward high priority needs of Section 5 and Section 14 (a) and (b), with some funding for emergency repair of Federal installations constructed under Section 10 and for facilities required to meet a temporary Federal impact (Section 9). An in-house study of current construction needs under Section 10 was recently completed. Some of the entitlements making up this backlog may not represent current needs, which must be demonstrated before actual funding can occur, and some represent low priority applications with relatively small numbers of unhoused pupils. However, the backlog of eligible applications is growing with estimated entitlements for the current year of $70 million.

An evaluation of Public Law 81-815 was contained in a study by the Battelle Memorial Institute. The study concluded that with its system of project by project approval, the administration of Public Law 815 is unnecessarily complicated. Furthermore, "because capital projects are easily deferrable in the Federal budget, Public Law 815 provides for uncertain levels of support based upon a priority system that tends to penalize a district that proceeds on its own to provide classrooms for Federally connected students." The Battelle Study recommended that the capital cost program (Public Law 815) applicable to the usual situations be merged with the operating cost program (Public Law 874) in order to simplify its administration and provide assistance on a current basis.

Ongoing and Planned Evaluation Studies

An in-house review for all Section 5 applications on file to establish current eligibility status is underway.

Sources of Evaluation Data

1. Battelle Memorial Institute, School Assistance in Federally Affected Areas: A Study of Public Laws 81-874 and 81-815 published by the Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970.

2. U.S. Department of Health, Education, and Welfare. Administration of Public Laws 81-874 and 81-815. Washington: Government Printing Office, 1977.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Emergency School Aid Act (ESAA)

Legislation:

Title VII of the Education Amendments of 1972 (P.L. 92-318) as amended by the Education Amendments of 1974 (P.L. 93-380) and 1976 (P.L. 94-482)

Expiration Date:

September 30, 1983

Funding History:	Year	Authorization	Appropriation
	1973	$1,000,000,000	$228,000,000
	1974	Total of $1,000,000,000 for FY 74-76	236,000,000
	1975		215,000,000
	1976		245,000,000
	Transition Quarter		3,000,000
	1977	Total of $1,000,000,000 for FY 77-79 1/	257,500,000
	1978		275,500,000
	1979		300,000,000

Program Goals and Objectives:

In June of 1972 the Emergency School Aid Act (ESAA) was enacted into law to provide financial assistance: "(1) to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; (2) to encourage the voluntary elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group students; and (3) to aid school children in overcoming the educational disadvantages of minority group isolation."

ESAA has eight active subprograms; three are State apportionment programs (Basic Grants, Pilot Projects, and Nonprofit organization grants) and five are nationally competitive programs (Special Projects, Bilingual Projects, Educational Television, Magnet Schools, and Evaluation). Special Projects includes about a dozen programs, the largest of which are Emergency Special Projects and Voluntary Plan Districts.

1/ P.L. 94-482 authorizes $1,000,000,000 for ESAA activities for fiscal years 1977-79. Additionally $75,000,000 and $150,000,000 are authorized for special award categories in FY 1977 and FY 1978 respectively.

Applications are scored on the basis of need and quality. Need is measured by a statistical score based upon the size the minority enrollment and the decrease in minority student isolation after the implementation of the desegregation plan. The quality score, determined by a panel, rates the objectives, activities and other dimensions of the detailed applications. Each application receives a total score which is the sum of the statistical and quality scores.

For the three State apportionment programs, applicants are ranked by total score and funded in rank order until the State apportionment for the program is exhausted. 3/ A national ranking (rather than separate State rankings) is used for the national competition awards. Funded projects are monitored by ESAA program officers. 4/ Local project reporting consists of financial reports, quarterly progress reports, final reports, and a final evaluation report.

Program Scope

The table below shows the allocation of ESAA resources for FY 1977 awards:

Program	No. of Applicants (1)	No. of Awards (2)	Percent of Applicants Funded (3)	Amount Obligated (thousands) (4)	Percent of Obligations (5)	No. States served (6)
Basic	529	454	86	$136,968	54	45
Pilot	237	163	69	32,202	13	39
Nonprofit	341	205	60	17,191	7	45
Special	165	114	69	40,372	16	41
ETV	66	9	14	8,948	4	N/A
Bilingual	71	25	35	8,600	3	8
Magnet Schools b	47	18	38	7,387	3	10
Evaluation	32	7	22	1,108	0 c	N/A
Total	1,488	995	67	$252,776	100%	47

(a) Actual obligations are shown, reflecting the transfer of some discretionary funds from Special Projects and Evaluation to other ESAA programs. The Basic and Special programs include 22 and 21 projects respectively funded under Voluntary Plan awards. The Special program also includes 22 Comprehensive Educational Plan (CEP) awards.

(b) Also includes University Business Cooperation and Neutral Site Plan awards.

(c) Columns (4) and (5) exclude $1 million transferred from non-ESAA funds but other columns include the full $2.108 million obligated.

3/ This process is conducted in two cycles which allows unsuccessful applicants to revise and resubmit their applications. Funds remaining after the first cycle may be re-apportioned to other States.

4/ For ESAA evaluation contracts, technical responsibilities are delegated to the OE Office of Planning, Budgeting and Evaluation.

Basic Grants provide assistance to local education agencies (LEAs) for up to fifteen authorized activities if they are "directly related to, and necessary to, the implementation of /an eligible desegregation/ plan."

Pilot Project grants are awarded to LEAs for projects designed to overcome the adverse effects of minority group isolation by improving the academic achievement of children in minority group isolated schools. To be eligible for a Pilot grant an LEA must have a plan which would make it eligible for a Basic Grant and must have a substantial enrollment of minority group students.

Nonprofit Organization grants to nonprofit groups (except LEAs) are authorized to support the implementation of an eligible desegregation plan.

The nationally competitive programs provide more specialized assistance. Bilingual grants are awarded to LEAs in which minority children do not receive an equal educational opportunity due to language and cultural differences. One technique for school desegregation--magnet schools--is supported as a separate ESAA subprogram. Emergency Special Project awards are for LEAs which adopted voluntary desegregation plans or received court ordered plans too late in the school year to apply for an ESAA award during the regular funding cycle. Two types of ESAA national awards tend to be received by specialized organizations, not LEAs. Educational Television contracts are awarded for integrated children's television programs. Evaluation contracts assess the programs assisted under ESAA.

Program Operations

Sums annually appropriated for Basic, Pilot, and Nonprofit Organization grant categories are apportioned to States on the basis of the ratio of their number of minority group school-aged children to the number of such children in all States.

Applications are made directly to the Office of Education in Washington. There are three main types of desegregation plans which establish district eligibility for Basic Grants. 2/ Only districts with a minority enrollment greater than 15,000 or 50 percent of the total enrollment are eligible for Pilot grants. The Office for Civil Rights determines whether each district has an eligible desegregation plan and meets other civil rights compliance standards specified in the Act.

2/ In summary, Basic Grants may be awarded to any LEA which: (a) is implementing a required plan or has adopted and will implement a non-required plan if assistance is made available; or (b) has a plan to enroll non-resident children in its schools to reduce minority group isolation; or, (c) in the case of districts with minority group student enrollments exceeding 50 percent, is establishing or maintaining at least one integrated school.

The table of FY 77 awards shows that two-thirds of the applicants (995 out of 1,488) were funded. The percentage of applicants funded was highest for the Basic Grants program where 86 percent of applicants were funded (column 3). Competition for awards was greatest in the ETV program, where only 14 percent of applicants were funded.

The largest ESAA program is Basic Grants, which accounted for $137 million or 54 percent of the total ESAA obligations (columns 4 and 5). Special Projects account for 16 percent and Pilot Projects 13 percent of the total ESAA obligations. The three State apportionment programs--Basic, Pilot and Nonprofit Organization awards--account for 74 percent of all funds. These three ESAA programs also have the most awards (column 2) and serve the most States (along with Special Projects, as shown in column 6).

Most expenditures for two of the larger ESAA programs--Basic Grants and Pilot Projects--are for salaries. In schools receiving ESAA funds, ESAA accounted for roughly one-fourth of all per-pupil expenditures at the elementary level and eight percent of total expenditures at the Basic secondary level. About 70 percent of ESAA dollars in Basic and Pilot elementary schools are used for basic skills instruction.

Program Effectiveness and Progress

The effectiveness of ESAA is substantially reduced by problems related to the targeting of ESAA Basic and Pilot program funds. ESAA tends to assist communities that desegregated their schools several years ago. This fact raises questions about the current level of need for funding and, in some cases, ambiguity about the relationship of activities funded to desegregation.

Targeting. A General Accounting Office 1978 report, Better Criteria Needed for Awarding Grants for School Desegregation, concludes that the State apportionment formula is a basic problem with ESAA. The formula does not necessarily allot the funds based on actual need for assistance. The number of minority students in a State may have little or no relationship to its desegregation needs.

An OE-sponsored evaluation report, An Assessment of ESAA Program Operations, also notes that the State apportionment formula is unrelated to desegregation needs. This study notes that the formula is unable to provide adequate funds for newly desegregating large urban school districts. ESAA Special Project grants, which are not subject to the State apportionment formula, have been used recently to fund or to supplement State Apportionment funds for such districts. These Special Project funds have helped compensate for inadequacies in the formula.

GAO also finds that school districts have been allowed to use ESAA funds for general education assistance and compensatory education rather than desegregation assistance. GAO suggests several causes:

- ESAA regulations allow funding school districts with planned desegregation efforts which were completed years ago.
- Activities have been supported which were not directly related or necessary to the implementation of a desegregation plan.
- Funds have been provided to support activities in schools which were not affected by the districts' desegregation plans.

Other studies confirm the GAO findings on the funding of old desegregation plans. The report, An Assessment of ESAA Program Operations, found that in FY 77, 70 percent of ESAA Basic grants were to districts that implemented a desegregation plan prior to 1973. Another OE sponsored study found that over half of the FY 77 ESAA Basic and 40 percent of the Pilot grants in Region II (New York and New Jersey) were awarded to districts which desegregated prior to 1969. Nationally, only 6.3 percent of districts with Basic grants implemented a desegregation plan within the previous two years.

The Region II study, The ESAA Basic and Pilot Program in Region II, is similar to the GAO report in its finding on the relevance of ESAA-funded activities to the implementation of a desegregation plan. Region II has had only limited success in recent efforts to direct ESAA projects away from compensatory education and toward specific desegregation needs because:

- There are broad alternative definitions of eligible desegregation plans present in the Act and regulations.
- Proposal writers are able to present programs for general aid to education in the cloak of desegregation related needs. Writers of ESAA proposals in each of seven case study districts presented achievement test results as if they were the result of desegregation. In fact, minority students tend to score lower than whites on such tests in most school districts with and without desegregation plans. In 5 of 7 case study districts, only the proposal writers could relate the local ESAA project to desegregation objectives.
- There are no regulations or guidelines for relating magnitude of need to the size of the grant award.

The report, An Assessment of ESAA Program Operations, also notes that the application review process for ESAA Basic grants is not selective. While there is a complex competitive funding process, the result in FY 77 was that approximately 85 percent of applicants were funded. More than half of the applicants received a quality score within four points of the maximum 45 point score. In short, there is little distinction between high and low quality applications and almost all eligible applicants are funded anyway.

A three-year evaluation of the ESAA Basic and Pilot programs conducted for OE in 1974-76 suggests that ESAA funds are targeted to districts with acute academic needs. There was also evidence that the recipient districts and schools translated their ESAA funds into services appropriate for their students, and generally focused those services upon students with the greatest academic needs. An exception to this finding occurred in the third year for Basic Elementary schools; the more academically advantaged (highest-scoring) Basic Elementary schools tended to have the highest per-pupil supplemental expenditure levels.

Most of the evaluations discussed above are more critical of the targeting of ESAA funds. They do not dispute the academic needs of schools receiving ESAA funds, but question whether a program for emergency school desegregation aid should be a compensatory education program.

Effectiveness. The three year evaluation of the ESAA Basic and Pilot programs found evidence of program impact in improving academic achievement in Year Three for the Basic elementary schools but not for the Basic secondary or Pilot elementary schools. That is, students in elementary grades in schools participating in the Basic program in 1975-76 made larger achievement gains than similar students in schools without the program ("control" schools). Although the evaluation did not find positive effects for Basic secondary or Pilot elementary schools, there may have been positive impact that was obscured because of technical problems encountered. 5/

The best and worst schools were chosen for an in-depth study in 1974-75 and 1975-76. Schools were selected based upon their success or failure in raising achievement test results in reading and mathematics above the previous school year. The results show patterns of successful schools:

5/ Local school districts diluted the experimental design by providing other resources for the "control" schools. Since there were few differences in total resources between ESAA and "control" schools (except for ESAA Basic elementary schools in 1975-76), there is no obvious reason to predict that the ESAA schools would show greater gains in student achievement.

- Organizational Climate. In-depth schools that succeeded in raising student achievement were characterized in both years by administrative leadership in instruction. Effective administrators felt strongly about instruction and assumed relatively more responsibility for instruction-related tasks as, for example, selecting basic instructional materials and planning and evaluating programs for the entire school.

- Reading and Mathematics Instructional Practices. Students were significantly more likely to gain in reading and mathematics when: teachers praised and rewarded students frequently and were more favorable to restricting rewards to occasions when students made academic progress; teachers used behavioral objectives and attached importance to setting challenging goals; and, teachers emphasized behavioral objectives and individualized instruction.

- School Resource Use and Cost. There was no statistically significant relationship between academic performance and the level of resource use in reading and mathematics instruction within the in-depth schools.

- Equality of Educational Opportunity. In schools placing greater emphasis on equality of educational opportunity, students were significantly more likely to interact without regard to race or ethnicity; minority students were significantly more likely to perceive teachers as treating them favorably; and schools that placed greater emphasis on providing equality of educational opportunity were more successful in raising student achievement.

The positive findings regarding "human relations" activities have been consistently replicated in OE-sponsored desegregation program evaluations.

A 1973-75 nationwide study, Conditions and Processes of Effective School Desegregation, identified several practices and policies as effective in improving the quality of race relations among students in the schools: Multiracial curriculum materials, teaching of minority history and culture, open classroom discussions on racial issues, and the assignment of black and white students to work together and to play together in organized activities. Ways of building a school environment that is supportive of integration are presented with specific examples in the publication A Handbook for Integrated Schooling, which is one product of the study.

A study of the predecessor of ESAA, the Emergency School Assistance Program (ESAP), examined 600 southern schools in 1971-72. Human relations programs were found to be effective in improving the attitudes of white urban students toward integration.

Finally, a 1970-71 study of 252 southern school districts in the first year of ESAP suggested that counseling and special student programs were associated with positive change in school racial climate.

Nonprofit Organizations. In an evaluation report to the Office of Education, the Rand Corporation finds that NPO projects are not operating as effectively as other community organizations not funded by ESAA. Activities such as developing community support for a desegregation plan or improving school-community relations can often be accomplished more effectively by a community organization than by a school district.

There are a number of factors which now militate against the more effective community organizations receiving ESAA funding:

- The extremely close connection between "host" school districts and NPOs has led NPOs to undertake education service activities ordinarily performed by the districts, and to undertake less often community relations and desegregation monitoring activities.
- Because NPO activities are generally not targeted to the particular phase of desegregation their districts are in, many NPO activities are inappropriate to the current desegregation situation in their districts. For example, NPOs often undertake remedial and tutorial activities when the district is in the initial stages of desegregation.
- The NPO proposal review system presently used by USOE does not succeed in identifying effective NPOs.

Fortunately, these barriers are subject to federal intervention and do not represent fundamental weaknesses of community organizations themselves.

Magnet Schools. A magnet school for purposes of ESAA is defined as a "school or education center that offers a special curriculum capable of attracting substantial numbers of students of different racial backgrounds." A preliminary evaluation report finds that magnet schools appear to have some success in establishing themselves as desegregated schools. One or a few magnet schools can succeed in desegregating parts of school districts (such as a portion of a district not affected by a prior desegregation plan). Other remedies in addition to magnet schools seem to be needed to achieve comprehensive district-wide desegregation. There is also some evidence that magnet schools are effective in helping to improve attitudes toward desegregation, although the reasons for this are varied and often seem contradictory.

Educational Television. An OE sponsored survey of viewership of television series funded by ESAA found:

- A substantial proportion of the principal intended target audience (Black and Hispanic children) are in communities in which the older, established ESAA television series are broadcast. The newest ESAA series were just becoming available at the time of data collection (May 1977) and reached only a small proportion of the audience.

- Viewership data for individual programs showed that a regional program, "La Esquina," had an 8.5 percent viewership. Another regional series, "La Bonneaventure," had 3.6 percent viewership. All other ESAA-TV series were below 3 percent viewership, including national programs such as "Villa Alegre" (2.6 percent) and Carrascolendas" (1.5 percent). Viewership is defined as the number of children who had watched a program once or more within the week preceding the survey divided by the number of children located in communities in which the program is broadcast.)

- Viewership rates were generally higher than those shown above for the target race and age audience. The time of day and day of week that a program is broadcast also significantly affects viewership.

Ongoing and Planned Evaluation Studies

1. "A Study of the Effects of Selected ESAA Supported Activities on Intergroup Relations and Basic Skills," under contract with System Development Corporation. Due 1980.

2. "Study of the Emergency School Aid Magnet School Program," under contract with Abt Associates. Due November 1978.

3. "An Assessment of the ESAA-TV Program Through an Examination of its Production, Distribution and Financing," under contract with Abt Associates. Due February 1979.

4. "A Study of Parental Involvement in Four Federal Education Programs," under contract with System Development Corporation. Due 1980.

Sources of Evaluation Data

1. Acland, H. Secondary Analysis of the Emergency School Assistance Program. Santa Monica, California: Rand Corporation, 1975.

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5. Crain, R., et al. Southern Schools: An Evaluation of the Effects of the Emergency School Assistance Program and of School Desegregation (2 volumes). Chicago: National Opinion Research Center, 1973.

6. Crocker, S., et al. An Evaluation of the ESAA Nonprofit Organization Program, (4 volumes). Santa Monica, California: Rand Corporation, 1978.

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11 MacPhee, B. Emergency School Assistance Program Community Grants. Atlanta, Georgia: Southern Education Foundation, 1971.

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13 Hebbeler, K., & Cosgrove, M. A Survey of Home Viewership of Television Series Sponsored by ESAA Legislation. Silver Spring, Maryland: Applied Management Sciences, 1978.

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16 Smith, S. An Assessment of Emergency School Aid Act (ESAA) Program Operations. Washington, D.C.: Applied Urbanetics, 1978.

17 Weaknesses in School Districts' Implementation of the Emergency School Assistance Program. , Washington, D.C.: General Accounting Office, 1971.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Training and Advisory Services (Civil Rights Act of 1964, Title IV)

Legislation:	Expiration Date:
Title IV of the Civil Rights Act of 1964 (P.L. 88-352), as amended by the Education Amendments of 1972, P.L. 92-318	indefinite

Funding History:	Year	Authorization	Appropriation
	1969	indefinite	$ 9,250,000
	1970		17,000,000
	1971		16,000,000
	1972		14,000,000
	1973		21,700,000
	1974		21,700,000
	1975		26,700,000
	1976		26,375,000
	Transition Quarter		325,000
	1977		34,700,000
	1978		34,700,000
	1979		41,350,000

Program Goals and Objectives:

Title IV is designed to provide training and technical assistance related to problems incident to school desegregation. Desegregation is defined to include race, color, religion, sex, and national origin. Technical assistance is authorized "in the preparation, adoption, and implementation of plans for the desegregation of public schools." Technical assistance includes, among other activities, making information available regarding "effective methods of coping with special educational problems occasioned by desegregation." The law also provides for training of school personnel "to deal effectively with special educational problems occasioned by desegregation," and for grants to school boards for inservice training of school personnel and the employment of specialists in connection with desegregation. All of the above quotes are from the legislation.

There are eleven subprograms under the Title IV program. Desegregation Assistance Centers (DACs) provide technical assistance and training services to local school districts within designated service areas. Separate DAC awards are made for race, sex, and national origin although a single applicant could compete for any combination of awards. State Educational Agencies (SEAs) are an alternative source of these desegregation services. There are separate awards for race, sex, and national origin; an SEA can apply for any combination of three subprograms. DAC and SEA awards for sex desegregation services began in FY 1975, such that each awardee conducted both race and sex desegregation activities under a single contract. Separate contracts began with new regulations adopted in FY 78. There are types of Training Institutes (TIs), one for sex desegregation and one for race desegregation. TIs conduct only training and do not provide technical assistance services. Finally, there are three types of direct awards to Local Educational Agencies (LEAs). The 1978 regulations provide for direct grants to LEAs to employ a sex desegregation advisory specialist and conduct related training. (These awards included race desegregation as well as in prior years). Two new categories of discretionary award to LEAs were created in 1978 for race or national origin desegregation. In summary, there are eleven Title IV subprograms; three DAC, three SEA, two TI and three direct LEA awards.

Program Operation:

Title IV is a discretionary grant program. Columns 2-4 of the table in the next section show the distribution of funds in FY 1977 under the old regulations. The largest funded subprogram was the combined DAC race and sex desegregation awards. The next largest use of funds as shown in column 4 of the table was for the combined SEA race and sex desegregation awards.

Most DAC awards are received by institutions of higher education although public agency (except an SEA or LEA) or private, nonprofit organization is eligible. Only institutions of higher education are eligible for TI awards. Only SEAs and school boards are eligible for SEA and direct LEA awards respectively.

Applicants send proposals to the Office of Education in Washington. Proposals are due at a time announced in the Federal Register except for the new discretionary awards to LEAs for race and national origin desegregation, for which applications may be received and awards made at any time. After review by OE staff, panelists assign each application a total numerical score (consisting of points for specific criteria that are added to produce a total score). Within each category, awards are made from the highest score down to a minimum acceptable score of 60 percent until funds are exhausted (except for DACs, where the applicant for each geographic service area with the highest score is selected).

Program Scope:

The following table presents data on Fiscal Year 1977 Title IV awards.

DATA ON TITLE IV AWARDS MADE IN FISCAL YEAR 1977

Category	Total Applications (1)	Total Awards (2)	Amount Awarded (thousands) (3)	Percent of Total Funds (4)	Average Award (thousands) (5)	Number of States Served (6)
Race and Sex						
1. DAC	41	27	$14,529	42	$538	50
2. SEA	44	44	6,704	20	152	44
3. LEAs	98	54	2,963	9	55	28
4. TIs	56	24	2,926	8	122	18
Sex Only						
5. TI	23	16	1,492	4	93	12
National Origin						
6. DAC	16	9	3,734	11	415	50
7. SEA	21	20	1,878	6	94	20
Total	299	194	$34,225*	100%	$176	50

* Totals do not add exactly due to roundoff error.

The first two columns show that there was substantial competition nationally for most Title IV awards. SEAs were an exception, with 64 of 65 SEA applications receiving awards (figures combine SEA race/sex and national origin applications). DAC awards are made within service areas and the amount of competition could, of course, vary substantially between different service areas.

Column 5 shows that the average Title IV award was for about $176,000, with the range from $55,000 for LEA grants to $538,000 for race and sex DACs. Much of this variation is due to the amount of services and geographic area covered. Almost two-thirds of the $8 million increase in obligations from FY 1976 to FY 1977 went to DAC and SEA awards for race and sex desegregation; however, the greatest percentage increase was in national origin SEA awards. 1/

1/ The table does not show the data for this sentence. The calculations are derived by comparing column 3 data with the same data for FY 76 awards.

The allocation of Title IV funds in FY 1977 was as follows: race, $21.7 million; sex, $8 million; national origin, $5 million.

Program Effectiveness and Progress

Title IV regulations were substantially revised in 1978 to incorporate many recommendations from a 1976 evaluation of the race desegregation program by the Rand Corporation, Title IV of the Civil Rights Act of 1964: A Review of Program Operations. That evaluation found that Title IV needed more Federal direction to focus on needs directly related to desegregation. Recommendations from three other studies were also considered in revising the regulations.

Some of the major changes to increase the desegregation identity of Title IV are:

- SEAs providing race desegregation assistance must give priority to school districts in the first three years of implementing desegregation plans.
- Race desegregation assistance centers, or DACs (formerly called "general assistance centers"), must give priority to helping school districts develop desegregation plans and to assisting districts in the first three years of implementing these plans.
- Race desegregation training institutes are permitted to provide training only to school districts which adopted desegregation plans within the two years preceding the beginning of the training.
- Activities related to the provision of compensatory education or the development of basic skills are specifically prohibited race desegregation assistance under Title IV.

Another major feature of the regulations--not related to the Title IV evaluation study--is a limitation of Title IV aid to school districts remedying conditions of racial separation that are the result of State or local law or official action. This limitation is based upon the statute's exclusion of efforts to overcome racial imbalance from assistance under Title IV.

The Rand study was primarily based upon an analysis of mail questionnaires from 140 Title IV projects and site visits conducted at 40 projects and 74 school districts served by these Title IV projects.

DACs often undertake race desegregation activities such as developing new instructional techniques, training in the use of new methods and materials, developing curricula, helping districts assess needs and developing techniques for school-community interaction. More than any of the other types of Title IV projects, DACs have to function as organizations capable of delivering a wide range of training and technical assistance services to a large number of school districts. Given these complexities, it is not surprising that the statistical analysis found that several organizational characteristics were strongly related to the effectiveness 2/ of DACs but not the other types of Title IV projects. Favorable DAC organizational characteristics include having a well-specified plan of project organization containing explicit schedules and milestones and a clear description of staff responsibilities. DACs with such detailed organization plans seemed better able not only to articulate but also to pursue specific desegregation-related goals.

The more effective DACs visited had a clear conception of the race desegregation assistance process and were selective in choosing districts where they could anticipate a favorable impact in contrast with other DACs which attempted to provide substantial services to all districts requesting assistance. Also, the evaluation found that the more effective DACs were more active in conducting needs assessments. These DACs tend to work more closely with their client districts and to conduct the needs assessment activity as part of a plan for uncovering desegregation-related needs.

The new regulations assist DACs in targeting rather than diffusing services, as discussed earlier in this section. The new regulations do not substantively increase the weight given to DAC organizational characteristics in rating applications from DACs. Also, two former application requirements have been deleted: (1) that DAC applications include LEA letters requesting assistance, and (2) that a desegregation needs assessment of LEAs in the service area be conducted.

SEA Title IV race desegregation units develop and disseminate materials, interpret Federal desegregation guidelines, and obtain statistical information to assist in identifying desegregation problems. SEAs also conduct the training and technical assistance activities related to information dissemination (including minority job recruitment). More complex SEA

2/ Project effectiveness was measured with a series of rating scales completed by interviewers after they conducted site visits at the project and school districts served by the project. Ratings were made of the effectiveness or impact of a project on the policies, programs, personnel, institutional structure, and training aspects of the districts served by the project. Effectiveness ratings were correlated with other characteristics of projects (in this case, organizational characteristics) separately for DACs and the other categories of Title IV projects.

technical assistance activities were effective only in States where there is a commitment by the State to school desegregation both in terms of a clear State policy and specific goals and objectives for its enforcement. Two of the thirteen Title IV SEA units visited had such an operational commitment to desegregation and those were judged as the most effective by all measures of effectiveness that were used.

The new regulations provide substantial points in the criteria for awards for the SEA commitment to desegregation and require a minimum of 60 out of 100 total points for funding.

Training Institutes (TIs) for race desegregation tend to provide specialized activities relating to the training of school personnel. TIs essentially structure themselves to meet specific district needs. TIs can be effective if the district has a favorable desegregation environment but have no leverage and are not effective in less amenable districts. As noted at the start of this section, the new regulations direct TI services only to districts with recently adopting desegregation plans and require that training be related to desegregation.

The evaluation found that the success of the former program of direct grants to LEAs for race desegregation was dependent upon a favorable desegregation environment within the district. Without such a commitment the advisory specialist lacked influence to deal with desegregation issues. Criteria for the new discretionary LEA awards for race desegregation are not specified in detail in the new regulations.

Ongoing and Planned Evaluation Studies

None.

Sources of Evaluation Data:

1. Crocker, S., et al. Title IV of the Civil Rights Act of 1964: A Review of Program Operations (2 volumes). Santa Monica, California: Rand Corporation, 1976.

2. King, N.J., Thomas, M.A., & Graubard, M.H. Title IV of the Civil Rights Act of 1964: Expansion of Program Responsibilities. Santa Monica, California: Rand Corporation, 1977.

3. Mogin, B. The State Role in School Desegregation. Menlo Park, California: Sanford Research Institute, 1977.

4. Title IV and School Desegregation: A Study of a Neglected Federal Program. Washington, D.C.: U.S. Commission on Civil Rights, 1973.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Packaging and Dissemination

Legislation:	**Expiration Date:**
Special Projects Act, Section 402, P.L. 93-380 as amended	June 30, 1983

Funding History:	Year:	Authorization:	Appropriation:
	1975	1/	$ 1,400,000
	1976	1/	1,400,000
	1977	2/	10,000,000
	1978	2/	10,000,000
	1979	2/	14,000,000

Program Goals and Objectives:

The purpose of the Special Projects Act is: (1) to experiment with new educational and administrative methods, techniques, and practices; (2) to meet special or unique education needs or problems; and (3) to place special emphasis on national education prorities. To fulfill this purpose, the Commissioner is authorized to make contracts with public and private agencies, organizations, associations, institutions, and with individuals.

This program is also under the authority of the General Education Provisions Act, section 422(a). One purpose of section 422(a) of the General Education Provisions Act fulfilled by this program is: to prepare and disseminate to States and school districts information concerning education programs. To carry out this and other purposes of the act the Commissioner is authorized to make contracts with State and local education agencies, other agencies and institutions, and to the general public.

A variety of sub-programs are authorized by the Special Projects Acts; some are legislatively mandated and some may be established at the discretion of the Commissioner of Education. The Packaging and Dissemination Program falls into the second category. Its purpose is to improve the quality of education by

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1/ This program was formerly called the Packaging and Field Testing Program In 1975 it was under the authority of the Cooperative Research Act, P.L. 531. It is currently under the authority of the Special Projects Act of P.L. 93-380 and does not have a separate authorization.

2/ The National Diffusion Network, established in 1974 under the authority of ESEA, Title III, was added to the Packaging and Dissemination Program in 1977. Since 1977 this program has been under the authority of the Special Projects Act, P.L. 93-380, and the General Education Provisions Act, Section 422(a), with no separate authorization level.

promoting the widespread dissemination and use of successful or exemplary educational practices and projects which were developed with the support of Federal educational funds and which have been certified as effective. The major objectives of the Program are:

(1) to disseminate exemplary educational practices and projects to interested school districts through the provision of materials and personal assistance;

(2) to study alternative dissemination procedures and techniques in order to improve the way in which school districts learn about and implement exemplary projects; and

(3) to provide training and assistance in the dissemination skills required to encourage and assist interested school districts in the selection and implementation of an appropriate exemplary project.

Program Operations:

Three complementary activities, which contribute to the common objective of encouraging the dissemination and implementation of exemplary practices, are funded by the program: packaging activities, dissemination activities and evaluations and studies of the dissemination process. The purpose of the packaging component of the program is to prepare descriptive materials that support the successful implementation of exemplary projects in new communities. (A project may qualify as exemplary if it was developed with the support of Federal education funds, and if it has been approved by the Joint Dissemination Review Panel, a NIE-OE committee of experts who review evidence of the effectiveness of potential exemplary projects.) Two types of packaging activities are currently supported. In one type, school districts that have developed an exemplary project prepare materials of their own to assist other interested communities in the implementation of that project. In addition, OE has funded independent contractors to develop descriptive materials about some exemplary projects. The materials developed in this way are called Project Information Packages (PIPs). Each package provides a comprehensive description of the key management and instructional elements of a particular exemplary project and is designed to minimize the amount of additional technical assistance required during implementation.

The dissemination component of the program has two purposes: to make educators aware of exemplary projects, and to provide personal assistance in the selection and implementation of such projects in new communities. These purposes are accomplished primarily through the activities of the National Diffusion Network, a national delivery system designed to assist in the spread of exemplary projects. Through competitive procurement procedures, the Network provides contracts to local developers (called Developer-Demonstrators) who operate their projects as demonstrations and who are funded to provide materials, training and assistance to school districts that want to adopt their projects. In addition, individuals (called State Facilitators) are funded as dissemination agents to make school districts in their States aware of alternative exemplary approaches and to help interested districts identify and obtain assistance from project developers in implementing a project to meet specific local needs. The Network is responsible for the dissemination of all projects approved by the Dissemination Review Panel, including PIPs. However, during the school year 1976-77, when Network funding was temporarily interrupted, eight contractors (called Diffusion Contractors) were funded to disseminate the packaged projects nationwide until Network funding was restored. Currently project developer sites funded through the Network are disseminating 12 compensatory education PIPs and are supplementing the packaged materials with personal assistance at project implementing sites.

In addition to the activities described above, this program provides a dissemination support service element and a dissemination evaluation component. Under the support service component, two field-based units have been established to produce materials (e.g., catalogs of exemplary projects, filmstrips and handbooks) and to provide training and assistance to NDN participants managing and conducting dissemination activities.

In the evaluation component of the program, studies are conducted of all packaging and dissemination activities. The purpose of these studies, designed by OE and conducted by independent contractors, is to learn from, improve upon, and provide alternatives to current program strategies.

Program Scope:

To date, three sets of Project Information Packages have been developed. The first set, describing six exemplary compensatory education projects, were developed in FY 74, field tested, evaluated and revised in FY 75 and FY 76, disseminated nationwide by eight Diffusion Contractors in school year 1976-77, and are currently being disseminated by the National Diffusion Network. second set of six compensatory education packages was developed during 1975-76 year, a third set of four bilingual packages was developed. With support from Title VII of ESEA, these are being field tested in 20 school districts during school years 1977-78 and 1978-79.

In FY 1978 a number of awards were made to continue the National Diffusion Network operations. Facilitator projects were funded in 50 States, (including the District of Columbia, Puerto Rico and the Virgin Islands). and 98 exemplary project developers were funded to provide materials, assistance and training to school personnel implementing their project. In addition, two field based technical assistance contracts provided materials, training and support services to NDN participants (Facilitator and Developer projects). Compensatory education projects, for which Project Information Packages (PIPs) had been previously developed, were funded to participate as

Developer projects in the NDN, to disseminate their respective Project Information Package materials, and to provide implementation assistance to adopter sites.

Two evaluation studies were completed during FY 77: a study of the field test of the first series of six Project Information Packages, and an evaluation of the National Diffusion Network. Three additional studies have been initiated: in FY 76, a two year study of the dissemination and implementation of the first series of packages was begun; in FY 77, a two year study was funded to evaluate the effectiveness of the bilingual packages and to prepare revisions as needed; and in FY 78 a study of Federal and State dissemination strategies was funded to explore current strategies and their effects.

Program Effectiveness and Progress:

Recent evidence indicates that the Packaging and Dissemination Program has been successful in obtaining a number of adoptions of exemplary projects across the country, and that there is substantial educator interest in the types of services being provided by the program. The demand for Network services is great, and over 4,000 adoptions of exemplary projects in new communities have occurred. Many of these are reasonably faithful replications of the original project, although some adaptation to local conditions has usually been necessary. In addition, there appears to be considerable satisfaction with the adopted projects. However, very little evidence is available concerning whether such adoptions have resulted in improved learning in the new communities. Each of these issues is discussed in greater detail in the follow paragraphs.

Extent of Adoptions:

Of Project Information Packages. Because of the interruption of Network funding, attempts to disseminate the PIPs have been limited to the efforts of the eight Diffusion Contractors funded during 1976-77. Nevertheless, approximately 140 adoptions of the first series of packaged projects have been reported to date. (Note that the second series of packaged projects is being disseminated for the first time in 1977-78). The 140 adoptions include nine LEAs who began implementing a packaged project for the first time in the school year 1976-77. The remaining adoptions 1/ represent LEAs who will be implementing a packaged project for the first time in the school year 1977-78. In addition, 11 of the 19 LEAs who participated in the field test chose to continue the project with local funds when the field test was over.

1/ Some potential adoptions were contingent upon the availability of funds, which was unknown at the time this report was prepared.

Of All Other Exemplary Projects. A recently completed evaluation of the Network (Emrick, 1977) reports that in its first two years of funding, the Network secured over 2,000 adoptions. In addition, the demand for Network services exceeded the capacity of Facilitators and Developers to provide them, resulting in the denial of services to some interested LEAs. The study indicated that one of the most important factors in securing adoptions was that an interested LEA receive some form of personal assistance from the Developer-Demonstrator.

Most adopters of exemplary projects are rural or suburban school districts; less than 20 percent of adoptions are within urban school districts. Most adopters implement their project in several classrooms within a single school; 30 percent of adoptions occur in several schools within the district. Also, most adoptions occur at the preschool or elementary level, reflecting the fact that most exemplary projects are either preschool or elementary.

Fidelity of Project Adoptions:

The evaluation of the PIP field test (Stearns, 1977) found that, with very little outside assistance, nearly all of the field test communities were able to implement the management and organizational aspects of the packaged projects. However, personal contact was desired by try-out sites for support and reassurance and, if not discouraged from seeking personal assistance, as they were in the field test, districts implementing these projects would naturally do so. By the end of the field test, the instructional programs had been well implemented in more than half of the projects. Some of the original project packages did not contain sufficient curricular information to enable teachers to adequately implement the curriculum. This component of the packages has been considerably strengthened in the revised packages now being disseminated. The Network evaluation also reported that project adoptions were reasonably faithful to developer specifications. However, both studies indicated that some amount of adaptation to local circumstances was required during implementation.

Both studies found that well implemented projects were characterized by strong local project leadership and administrative support within the school system. In addition, the Network evaluation indicated that well implemented projects were those for which fairly completed materials packages had been prepared.

User Satisfaction:

For both PIPs and other Network adoptions, user satisfaction with services and materials was reported to be high. The continuation of 11 of the 19 field test projects after the field test (and financial support) ended provides some indication of this satisfaction.

Effectiveness:

The PIP field test evaluation included an analysis of the impact of the projects on the achievement growth of participating students. To determine this impact, the average performance of children in PIP projects was compared to two standards: the expected achievement growth for disadvantaged children, 1/ and a somewhat higher standard 2/ that was frequently achieved at the originating site. The study found that, although in most projects students achieved the expected achievement growth for disadvantaged children, the higher standard was not achieved. No information regarding project impact on student achievement is currently available from adopters of other exemplary projects. The educational outcomes of projects implemented through the efforts of this program is an area in need of further investigation and will be the focus of future study.

1/ The achievement growth expectation was defined as the amount of achievement associated with project students maintaining the same percentile rank from pre to post testing. This expectation is determined from test norms, in this case the Metropolitatn Achievement Test.

2/ This more stringent criterion was defined as gains that were equal to or greater than one-third standard deviation above the equal percentile growth expectation. Such gains were achieved at the originating sites in some classrooms, in some years, on some tests.

Ongoing and Planned Evaluation Studies:

1. Evaluation of Project Information Package Dissemination and Implementation

This study examines the dissemination and implementation of the six revised Project Information Packages which are currently being disseminated. The study is concerned with two aspects of the dissemination program: the effectivenses of the overall dissemination strategy, and the effectiveness of the resulting implementations in local communities. Regarding the dissemination strategy, the extent to which the various dissemination agents are able to obtain adoptions will be examined in an attempt to identify those factors that appear to facilitate or inhibit adoptions by local communities. In addition, in a sample of local communities who have adopted one of the six projects, the study will examine the degree of fidelity in which the projects are implemented. The study will result in a series of recommendations to improve the dissemination strategy and implementation assistance. The study, being conducted by American Institutes for Research, began in July 1976. A report on the first year of the study is currently available. A final report on the study is due in December 1978.

2. Field Test and Revision of Four Bilingual Education Project Information Packages

The purpose of this study is to provide critical information on the problems sites have in installing the projects via Project Information Packages in order to revise the materials prior to national dissemination. The field test effort in the 1977-78 school year will evaluate the implementation process and suggest revisions in the packaged materials that would further facilitate their use in the field. During the 1978-79 school year, the materials will be revised according to results from the previous year of the study. The study, being conducted by RMC Research Corporation, began in July 1977, and will be completed December, 1979.

3. Study of Dissemination Efforts Supporting School Improvement

The purpose of this study is to examine the process of school improvement and the dissemination strategies, programs, and structures at the Federal and State level in order to determine what roles Federal and State dissemination activities play in the process. More specifically the objects are:

- to determine the ways in which exemplary projects are implemented in new sites and the conditions that contribute to their effective implementation
- to design and implement a formative evaluation system for the National Diffusion Network
- to examine the relationship between Federal dissemination efforts and SEA dissemination activities.

- to explore and describe the structure and operations of major dissemination activities conducted by various USOE administered programs
- to recommend ways in which dissemination activities should be conducted in the future.

The study began in October 1978 and will be completed in March 1981.

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Sources of Evaluation Data:

1. Berman, P., and M. W. McLaughlin, et al., Federal Programs Supporting Educational Change. Volumes 1 - 7, Santa Monica, California: The Rand Corporation, 1975 and 1977.
2. Campeau, P. L., Packaging as a Strategy for Improving the Process of Diffusing Educational Projects. Paper presented at the annual meeting of the American Education Research Association, New York City, April 4-8 1977,
3. Campeau, P. L. et al., First Year Report: Evaluation of Project Information Package Dissemination and Implementation. Palo Alto, California: American Institutes for Research, April 1978.
4. Emrick, J. A., Evaluation of the National Diffusion Network, Vols. 1 and 2, Menlo Park, California: Stanford Research Institute, 1977.
5. Foat, C. M., Selecting Exemplary Compensatory Education Projects for Dissemination via Project Information Packages, Technical Report UR-242, Mountain View, California: RMC Research Corporation, 1974.
6. Horst, D. P., A. M. Piestrup, C. M. Foat, and J. L. Binkley, Evaluation Recommendations for Revisions. Mountain View, California: RMC Research Corporation, 1975.
7. Norwood, C. H., Evaluation of the Field Test of Project Information Packages: Volume II Technical Report, Menlo Park, California: Stanford Research Institute, 1977.
8. Piestrup, A. M. ,Design Considerations for Packaging Effective Approaches in Compensatory Education. Technical Report UR-241, Mountain View, California: RMC Research Corporation, 1974.
9. Stearns, M. S. Evaluation of the Field Test of Project Information Packages: Volume I-Viability of Packaging. Menlo Park, California: Stanford Research Corporation, 1975.
10. Stearns, M. S. Evaluation of the Field Test of Project Information Packages: Volume I-Summary Report. Menlo Park, California: Stanford Research Institute, 1977.
11. Tallmadge, G. K. The Development of Project Information Packages for Effective Approaches in Compensatory Education. Technical Report UR-254, Mountain View, California: RMC Research Corporation, 1974.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Assistance to States for State Equalization Plans

Legislation:

Section 842 of Title VIII of the Educational Amendments of 1974 (P.L. 93-380) amended by P.L. 94-482

Expiration Date:

September 30, 1978 1/

Funding History:

Year	Authorization 2/	Appropriation
1976		$ 0
Transition Quarter		$ 3,000,000
1977		$ 10,500,000
1978		$ 0
1979		$ 0

Program Goals and Objectives:

The program set up by Section 842 has two major purposes: (1) to reward those States which have equitable and fair systems of school finance by offering reimbursement retroactively for expenditures associated with developing or administering school finance equalization plans and (2) to encourage States which have not acted to reform their school support plans to develop equitable and fair systems by offering reimbursement for

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1/ Section 1202 of PL 95-561, which as of the date of this writing has received no appropriations, authorizes the Commissioner to make grants to States to assist them in developing and implementing plans to revise their systems of financing elementary and secondary education in order to achieve a greater equalization of resources among school districts. To receive such a grant a State must (1) submit an application approved by the State legislature (2) provide that State funds will match the Federal funds on a dollar for dollar basis, and (3) show how their plans build upon the knowledge they gained through plans developed under the Section 842 program

2/ Section 842 contains no appropriation authorization as such. However, Congress, as set forth in the Conference Report accompanying H.R. 5901 (P.L. 94-94), has taken the position that the language of the Act constitutes an obligation for the Federal Government to reimburse States for approved costs and has appropriated the amounts as indicated.

costs of developing new plans. Equitable and fair systems of school finance are defined in the regulations and are summarized below. State equalization plans must be consistent with the provisions of the Fourteenth Amendment and have as their primary purpose achievement of equality of opportunity for all children enrolled in schools in the State's local educational agencies.

Program Operations:

States are required to submit two documents to the Commissioner to apply for funds. The States must submit either a developed plan of State aid or a proposal to develop such a plan. The second document which States must submit is an application for reimbursement. While States are encouraged to submit such an application along with their plan or proposal, they are not restricted to submission of one such application but may submit multiple claims until the total amount of their entitlement has been awarded. According to program regulations, the State plan to equalize expenditures is intended to be a "detailed description of the State's policies, programs, and operating procedures relating to the State's program of financial assistance to local educational agencies in that State." The State plan is further expected to meet certain guidelines as set up in the program regulations. While no State plan is required to meet all guidelines, a State plan must not reject the principles as characterized by the guidelines.

The guidelines for constructing a State financial plan to equalize educational opportunity within the State suggest that:

(1) the plan guarantee an adequate educational program, allow expenditures per pupil to vary with varying costs of the educational needs of pupils, varying costs of educational programs (e.g., special, vocational, or bilingual programs), and varying capital and transportation costs;

(2) the plan not allow the wealth of local educational agencies to influence school district expenditures and the plan be financed by an equitable tax system;

(3) the plan encourage citizen interest in educational decision-making, encourage efficient allocation of educational resources and provide a means of evaluating its own progress.

If a State does not submit a plan but instead submits a proposal to develop a plan, the proposal is expected to address itself to the guidelines outlined above. As an example, studies described in the proposal should recognize any weaknesses in the State's current financial system in meeting the guidelines. After the proposal has been funded, the State remains obligated to submit the developed plan to the Commissioner for approval or disapproval.

Before submitting the application for reimbursement to the Commissioner the State agency must have solicited views of the financial plan from the State's Governor, local educational agencies, and other interested parties.

Once the State plan (or proposal) and application for reimbursement have been approved, the Commissioner determines the allocation of funds to be made. According to the rules and regulations, "the entitlement of each State shall be determined on the basis of a straight-line formula, such that the entitlement of the most populous State shall be $1,000,000, the entitlement of the least populous State shall be $100,000, and the entitlement of each other State shall fall between these amounts based on the ratio of that State's population to the population of the Nation as a whole." These entitlements are not annual entitlements but rather entitlements associated with the program which expires on September 30, 1978.

As part of program operations, the U.S. Office of Education conducts on site reviews of every funded Section 842 proposal. Additionally, the USOE conducted two Regional Workshops in 1976 and one National Workshop in 1977. They also conducted a technical assistance conference in March 1978, and an Implementation Strategy Workshop in July 1978.

Program Scope:

As of December 15, 1978, 46 States had submitted applications for reimbursement under Section 842 with awards totaling $12,704.513. Table I indicates the status of the States with regard to the submission of equalization plans. The table indicates that only 11 States have submitted previously developed plans. Thirty-five States have submitted proposals to develop a plan of equalization while four States have not yet submitted a proposal or a plan and hence have not requested funds under this program. Table II gives the entitlement, the amount of funds requested, the amount of funds awarded and the amount of remaining funds in the entitlement for each State.

A March 1978 report entitled, Summary of State Projects, compiled interim reports from 35 of the 37 States which submitted proposals to develop a plan of equalization. Only Arizona and Massachusetts did not submit an interim report in time for inclusion in the March 1978 report. The report indicates that the State Department of Education is the recipient of Section 842 funds in 32 of the 35 submitting States. The three remaining States of Arkansas, North Carolina, and Oregon had the following agencies as recipients respectively: The Joint Interim Committee on Education, the Governor's Commission on Public School Finance, The Legislative Review Office.

The report indicated that major activities were under way in all but five of the reporting States, which, at the publication date of the report, had just begun Section 842 activities. These five States were: Idaho, Louisiana, Maryland, Oregon, Tennessee and Texas. For the 30 States with major activities under way, the report placed these activities in 11 categories. Table III indicates the nature of the 11 activities, the States undertaking the activities, and the frequency with which each activity is undertaken among the States. The report also categorized the research projects of the 30 States into 6 major topics with a number of subtopics in each. Table IV indicates the topics and subtopics, the States undertaking each subtopic, and the frequency of undertaking.

Program Effectiveness and Progress:

At this time, an evaluation of program effectiveness must necessarily be limited to initial activities of the States. Of the 39 States which had not developed a plan, all but four (Navada, New Hampshire, Virginia, and West Virginia) have submitted proposals.

The Section 842 program has been especially timely for States under court order to revise their school finance systems, such as California, New York, Ohio, New Jersey, Washington, and Connecticut.

As of December 15, 1978, implementation of plans have occurred only among those eleven States which received retroactive cost reimbursements for developed plans. Among those States, only Rhode Island's plan has not yet been implemented because it has not yet passed the State legislature.

Ongoing and Planned Evaluation Studies:

There are no ongoing evaluation studies. Planned evaluation studies are still in the formative stage, but may take either or both of the following directions:

(1) a study to determine the extent of equalization achieved by the States which obtained reimbursement funds;

(2) a study to determine the extent to which the legislation provided the stimulus to States to develop State financial aid plans to obtain equality of educational opportunity.

Sources of Evaluation Data

Summary tables from the School Finance Unit, Bureau of Elementary and Secondary Education, USOE (April 14, 1978).

Summary of State Projects, prepared by Anne E. Just, Educational Program Specialist, School Finance Staff, USOE, March 1978.

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SECTION: 842 - Table I

Status of State Submissions as of December 15, 1978

	Plan has been submitted for Reimbursement of Expenditures		Proposal to develop a plan has been submitted		No plan or proposal to develop a plan has been submitted to date
STATE	approved	not yet approved	approved	not yet approved	
Alabama			x		
Alaska			x		
Arizona			x		
Arkansas			x		
California			x		
Colorado			x		
Connecticut			x		
Delaware			x		
Florida	x				
Georgia			x		
Hawaii	x*				
Idaho			x		
Illinois			x		
Indiana			x		
Iowa			x		
Kansas	x				
Kentucky			x		
Louisiana			x		
Maine	x				
Maryland			x		
Massachusetts			x		
Michigan	x				
Minnesota			x		
Mississippi			x		
Missouri			x		
Montana			x		
Nebraska			x		
Nevada					x
New Hampshire					x
New Jersey	x*				
New Mexico	x				
New York			x		
North Carolina			x		
North Dakota			x		
Ohio			x		

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* While both Hawaii and New Jersey submitted plans, neither requested retroactive reimbursement. Hawaii requested funds to evaluate their plan; New Jersey requested funds to implement their plan.

SECTION: 842 - Table I (continued)

STATE	Plan has been submitted for Reimbursement of Expenditures		Proposal to develop a plan has been submitted		No plan or proposal to develop a plan has been submitted to date
	approved	not yet approved	approved	not yet approved	
Oklahoma			x		
Oregon			x		
Pennsylvania			x		
Rhode Island	x				
South Carolina	x				
South Dakota			x		
Tennessee			x		
Texas			x		
Utah	x				
Vermont			x		
Virginia					x
Washington			x		
West Virginia					x
Wisconsin	x				
Wyoming			x		
Total	11		35		4

TABLE II
Entitlements, Requests, and Awards as of December 15, 1978

State	Entitlement	Amount Requested	Amount Awarded	Amount of Remaining Entitlement
Alabama	$ 241,739	$ 241,739	$ 241,739	-0-
Alaska	100,000	100,000	100,000	-0-
Arizona	179,723	179,723	179,723	-0-
Arkansas	175,690	175,100	175,100	590
California	1,000,000	1,000,000	1,000,000	-0-
Colorado	195,281	195,275	195,275	6
Connecticut	220,307	220,307	220,307	-0-
Delaware	110,344	110,344	110,344	-0-
Florida	440,015	440,015	440,015	-0-
Georgia	298,802	298,802	298,802	-0-
Hawaii	122,484	122,484	122,484	-0-
Idaho	119,942	119,942	119,942	-0-
Illinois	574,171	574,171	574,171	-0-
Indiana	317,911	317,911	317,911	-0-
Iowa	210,270	210,270	210,270	-0-
Kansas	184,368	184,368	184,368	-0-
Kentucky	232,053	232,053	232,053	-0-
Louisiana	249,934	249,934	249,934	-0-
Maine	131,030	131,030	131,030	-0-
Maryland	264,266	264,266	264,266	-0-
Massachusetts	339,211	339,211	339,211	-0-
Michigan	484,631	484,631	484,631	-0-
Minnesota	256,203	256,203	256,202	-0-
Mississippi	187,349	187,349	187,349	-0-
Missouri	294,200	208,460	208,460	85,740
Montana	117,356	117,016	117,016	340
Nebraska	152,593	152,593	152,593	-0-
Nevada	110,212	-0-	-0-	110,212
New Hampshire	120,468	-0-	-0-	120,468
New Jersey	405,961	405,961	405,961	-0-
New Mexico	134,098	134,098	134,098	-0-
New York	878,379	878,379	878,079	-0-
North Carolina	320,628	320,628	320,628	-0-
North Dakota	112,929	112,929	112,929	-0-
Ohio	555,983	555,983	555,983	-0-

Table II (continued)

State	Entitlement	Amount Requested	Amount Awarded	Amount of Remaining Entitlement
Oklahoma	$ 202,557	$ 202,557	$ 202,557	-0-
Oregon	183,886	183,886	183,886	-0-
Pennsylvania	604,018	604,000	604,000	18
Rhode Island	126,165	126,165	126,165	-0-
South Carolina	206,667	206,667	206,667	-0-
South Dakota	114,902	114,902	114,902	-0-
Tennessee	266,896	266,896	266,896	-0-
Texas	611,731	611,731	611,731	-0-
Utah	136,728	136,728	136,728	-0-
Vermont	105,566	105,566	105,566	-0-
Virginia	300,249	-0-	-0-	300,249
Washington	238,189	238,189	238,189	-0-
West Virginia	163,243	-0-	-0-	163,243
Wisconsin	285,172	285,172	285,172	-0-
Wyoming	100,921	100,879	100,879	42
Total	$ 13,485,431	$ 12,704,513	$12,704,513	$ 780,918

TABLE III

Section 842 Project Activities
(as of October 1, 1977)

Advisory Committees	Contract Work	Computer Simulation	Completed Products and Publications	Providing Information for Legislature	Regional Meetings	Data Collection	New Legislation Enacted	Implementation of New Legislation	Dissemination Efforts	Drafting of New Legislation
AL			AL							
	AK	AK	AK	AK	AK		AK	AK		
AR	AR									
CA		CA							CA	
CO		CO	CO	CO		CO				
CT	CT	CT	CT	CT	CT				CT	
						DL				
GA	GA	GA			GA					
						HA				
ID										
IL	IL		IL							
IN	IN									
IA	IA			IA		IA				
	KY		KY							
LA										
	MD									
MN	MN					MN				
MS	MS	MS			MS	MS				
	MO			MO			MO			
MT	MT	MT								
NB	NB					NB				
					NJ			NJ		
NY			NY		NY					
NC	NC		NC							
ND	ND	ND			ND				ND	
		OH		OH				OH		
OK	OK	OK		OK						OK
				OR						
		PA			PA					
SD	SD	SD	SD	SD			SD			
TX			TX				TX	TX		
VT	VT	VT	VT	VT						VT
		WA			WA					
WY										
23	19	14	11	10	9	7	4	4	3	2

TABLE IV

- RESEARCH TOPICS OF SECTION 842 PROJECTS

(as of October 1, 1977)

I. Federal/State/Local Finances for Public Schools															II. Technical Aspects of Financial Systems											III. Organizational Factors									IV. Educational Program								V. School Finance Reform								VI. Special Needs				
Taxation and Local Effort	Equitable Distribution	State Revenue Alternatives	Impact of Federal programs	Impact of State aid	Tax Structure and Efficiency	Assessment practices	State and Federal funding policies	Expenditure Limitations	Model for forecasting	Future State Planning	Federal and State Revenue Project	Coal/oil and gas Revenues	Use of Debt for Current Operations	Circuit Breaker Study	Review of Current System	Cost Differentials	Formula	Facilities	Support Services	Funding Options	Foundation Program	Pupil Weighting	Instructional Programs	Financing of Non-Public Schools	Non-controllable Costs	School District Organization	Staffing Ratios	Declining Enrollments	Organizational Efficiency	Program-oriented Budgeting	Socio-economic Properties	Teacher Location	Teacher Evaluation	Teacher Retirement	Adequate Educational Program	Actual Program Costs	Educational Program Effect	Program Breadth and Staff	Essential Learning Skills	Local Testing of Basic Skills	Regional Services	Shifts in Educational Program Demands	National and State Developments	Legal Issues and Implications	Educator and Citizen Attitudes	Equity Guideline	Accountability and Reform	Alternative Definition of Equality	Training to Implement Court Order	Revision of Administrative Code	Special Education	Children in Poverty	Special Needs	Vocational Education	Bilingual Education
AL	AL																AL	AL	AL				AL												AL																				
																AK	AK	AK				AK																												AK				AK
																	AR					AR																																
					CA	CA										CA		CA			CA																										CA					CA	CA		
			CO		CO											CO		CO	CO																	CO							CO												
CT		CT	CT	CT		CT									CT		CT																		CT								CT	CT											
DL															DL	DL																											DL	DL							DL				
GA	GA	GA			GA										GA	GA	GA	GA																	GA	GA	GA						GA	GA											
	HA																																															HA					HA		
IL				IL		IL							IL			IL	IL	IL	IL						IL			IL							IL	IL															IL	IL			
IN	IN															IN		IN	IN		IN	IN				IN	IN	IN						IN																	IN		IN	IN	
IA	IA															IA							IA			IA			IA						IA	IA									IA										
KY	KY														KY	KY	KY	KY			KY											KY			KY		KY														KY			KY	
															LA																											LA												
		MN			MN										MN																														MN									
	MO																																		MO															MO				
																				MS																																	
															MT					MT	MT																								MT									
			NJ																										NJ			NJ				NJ		NJ	NJ				NJ						NJ	NJ					
NY				NY				NY		NY	NY			NY		NY	NY							NY		NY		NY										NY			NY										NY				
NC	NC		NC	NC											NC																			NC																			
ND						ND						ND							ND																									ND						ND				
															OH																																						
																	OK			OK																						OK	OK											
		PA													PA																																							
SD		SD													SD																																							
																				TX																																		
	VT														VT		VT			VT																																		
WA	WA								WA								WA										WA				WA																				WA			
		WY					WY								WY	WY	WY																	WY							WY			WY										
[illegible]																																																					

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Allen J. Ellender Fellowships

Legislation: Expiration Date:

Public Law 92-506, as amended — June 30, 1981

Funding History:

Year	Authorization	Appropriation
1973	$ 500,000	$ 500,000
1974	500,000	500,000
1975	500,000	500,000
1976	500,000	500,000
1977	750,000	750,000
1978	750,000	750,000
1979	1,000,000	1,000,000

Program Goals and Objectives:

Public Law 92-506 authorizes the Commissioner of Education to make grants to the Close Up Foundation of Washington, D.C., to assist in carrying out its program of increasing the understanding of the Federal Government among secondary school students, their teachers, and the communities they represent. Operating through a city/community concept, the Foundation awards fellowship grants to disadvantaged secondary school students and their teachers to participate in a Washington public program.

Program Operations:

Program funds are designated by statute as a grant to the Close Up Foundation of Washington, D.C. The Foundation then awards fellowships to secondary school students and their teachers in communities chosen annually by the Foundation's board of directors. Communities are chosen on the basis of equitable geographic and urban/rural representation, educational and community civic interest, and the availability of matching funds from other sources in the community. Secondary schools in these communities receive one student and one teacher fellowship. Students must be economically disadvantaged and are further selected on the basis of their interest in the objectives of the program. Teachers are selected by their school principals. Of fundamental importance to the Foundation's program is the multiplier effect of local community matching fellowship funding and additional students who participate by generating their own tuition.

Program Scope:

Allen J. Ellender Fellowships were awarded to 1,874 students and teachers in fiscal year 1978. Grants include board, room, instruction, textbooks and insurance at a cost of $305 per participant plus costs for travel to Washington. Average fellowship cost including transportation was approximately $400. Participants spend a week in Washington meeting with officials from the three branches of Government, lobbyists, the media, representatives of the diplomatic corps, and Foreign graduate students and participating in early morning to late evening workshops with CLOSE UP staff members.

The 1,874 fellowship participants supported by the program included 925 secondary students and 950 teachers from 26 communities. Utilizing the Ellender Fellowships as a multiplier, the Foundation, through matching corporate and philanthropic monies along with students raising their own tuition, was able to generate an additional 10,000 participants in 1978.

Program Effectiveness and Progress:

The Close Up Foundation contracted with Social Education Associates in 1974-75 to conduct a preliminary impact assessment. On measures of affective change such as political self-confidence and interest in political affairs, students were chosen to have undergone positive changes of a statistically significant nature. The program has also generated numerous State and local activities which have involved many additional students and teachers in participating communities.

Ongoing and Planned Evaluation Studies:

The Close Up Foundation is planning for a more comprehensive study of the impact of the programs on student attitudes and behavior. Upon completion of its proposal, the Foundation will seek funds to support the study.

Sources of Evaluation Data:

Perspectives 1978. Washington: Close Up Foundation, 1977.

To Extend Support of Allen J. Ellender Fellowships. (Hearing before the Subcommittee on Elementary, Secondary, and Vocational Education of the Committee on Education and Labor, House of Representatives, 94th Congress, 2nd Session. Hearing held in Washington, D.C., February 19, 1976.) Washington: U.S. Government Printing Office, 1976.

For further information about program operations,

Contact: Catherine Robertson
245-8970

For further information about studies of program effectiveness,

Contact: Pen Jackson
245-8857

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:	Expiration Date:
Indochinese Refugee Children Assistance	September 30, 1983

Legislation:

Indochina Refugee Children Assistance
Act of 1976, P.L. 94-405 as amended

Funding History:	Year	Authorized	Appropriation
	1976	indefinite	$15,000,000
	1977	"	18,500,000 1/
	1978	"	0
	1979	"	0

Program Goals and Objectives:

The Indochina Refugee Children Assistance Act of 1976 authorized grants to assist State and local education agencies in providing additional basic education services and necessary supplementary educational services for Indochinese refugee children. It is a State-administered program with an allowance for administrative costs of up to one percent of each State's total allocation. Funds may be used to provide supplementary educational services to enable eligible children to achieve a satisfactory level of performance and to provide additional basic instructional services attributable to the presence in a district of refugee children. Funds may be used for teacher salaries, instructional materials and supplies, and inservice training of instructional personnel.

Program Operations:

Each State is entitled to receive payments based on the number of eligible children in school in the State. Up to one percent of the total funds received by a State may be used for State administration of the program. 2/ Payments are based on entitlements of $300 per student for the first one hundred students or, in districts where more than one percent of the total enrollment is entitled to payment, $300 per student for the number of students equaling one percent. Entitlement for students in excess of these numbers is $600 per student. Actual payments, based on appropriation levels, have been somewhat less than these amounts.

1/For period from July 1, 1976 to September 30, 1977.

2/The 1978 amendments set this allowance at 5 percent (P.L. 95-561, Section 1331(q)).

Program Scope:

Congress appropriated $18.5 million in fiscal year 1977 to implement the program. The grant period of the authorization was July 1, 1976 through September 30, 1977. Due to the lateness of the appropriation, however, the grant period was extended through September 30, 1978. Most local education agencies used the funds for educational services to Indochinese refugee children during the 1977-78 school year. A few districts used the funds to reimburse themselves for expenditures incurred for eligible children during the 1976-77 school year.

Grants were approved to the 50 States, the District of Columbia, and Guam. State applications requested $20,435,376, requiring a reduction of 9.48 percent in actual payments to stay within the appropriation level.

States used one percent of the grant funds for administrative costs and the remainder of the funds to support local education agency services for eligible children.

Program Effectiveness and Progress:

Funds were used by local education agencies to provide services to eligible refugee children so that they could perform satisfactorily in the regular school program. Technical assistance was provided to State and local education agencies through the Center for Applied Linguistics Clearinghouse and through five Bilingual Centers.

Ongoing and Planned Evaluation Studies:

No evaluation of the program has been initiated.

Sources of Evaluation Data:

Annual Report, Indochinese Refugee Children Assistance Program, 1977. Report of the Task Force on Indochinese Refugee Children Assistance to the Deputy Commissioner, Bureau of Elementary and Secondary Education, May 1978.

For further information about program operations,

Contact: James Lockhart
(202) 245-3081

For further information about studies of program effectiveness.

Contact: Penrose Jackson
(202) 245-8857

H. EVALUATION OF POSTSECONDARY EDUCATION PROGRAMS

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Basic Educational Opportunity Grant Program

Legislation:

Education Amendments of 1972, Title IV; Public Law 92-318, 86 Stat., 248-251; as amended Public Law 94-482.

Expiration Date:

September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1973	(Such sums as	$122,100,000
	1974	may be necessary	475,000,000
	1975	"	840,200,000
	1976	"	1,325,800,000
	1977	"	1,903,900,000 1/
	1978	"	2,160,000,000
	1979	")	2,600,000,000

Program Goals and Objectives:

The Basic Educational Opportunity Grant (BEOG) Program is a source of Federal student financial aid which became available to eligible students for the first time during the 1973-74 academic year. The purpose of the Basic Grant Program is to provide eligible students with a "floor" of financial aid to help them defray the costs of postsecondary education. Student eligibility is primarily based on financial need determined on the basis of a formula developed by the Office of Education and reviewed by Congress annually and is applied uniformly to all applicants. The result of applying this formula is called the student's eligibility index and is used solely for purposes of determining the amount of a student's Basic Grant award. Eligibility for Basic Grants is determined on the basis of financial need. No scholastic determination is made.

Program Operation:

(a) Student Eligibility

Basic Grant assistance is available to all eligible undergraduate students who are enrolled in an eligible institution on at least a half-time basis. Participating institutions include colleges and universities, as well as postsecondary vocational, technical and proprietary institutions who meet Federal eligibility

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1/ Of this amount, $211,700,000 was used for the 1976-77 awards.

requirements. A student may enroll and receive his Basic Grant award at the eligible institution of his choice. Eligibility is limited to four years of undergraduate study, but may be extended to five years under special circumstances specified by law.

(b) Family Contribution Schedule

The law requires the Commissioner to submit to Congress each year for approval a schedule indicating the formula for determining the Expected Family Contribution. This is the amount a family can be expected to contribute to a student's postsecondary education. The formula takes into account such indicators of family financial strength as parental and student income, assets, family size, number of family members in postsecondary education, educational expenses of other dependent students, and the special educational benefits a student receives. A separate formula is used for dependent and independent students.

(c) Calculation of Awards at Full Funding

The law originally provided that at full funding a student's Basic Grant entitlement be equal to $1,400 minus the expected family contribution. The Education Amendments of 1976 stipulates that the maximum award in the 1978-79 academic year be changed to $1,800 [1/]; the minimum award remains unchanged. There is a further limitation that payments cannot exceed one-half the actual cost of attendance, which includes tuition and fees, books and supplies, room and board, and a personal allowance. The minimum award at full funding is $200.

(d) Calculation of Awards at Less than Full Funding

In the event that sufficient funds are not available to fully fund all entitlements, student grants must be reduced in accordance with the following provision:

If $1,400 minus expected family contribution is:

More than $1,000	Pay 75% of the amount
$801 to $1,000	Pay 70% of the amount
$601 to $800	Pay 65% of the amount
$200 to $600	Pay 50% of the amount

In addition, no award may exceed half of cost minus the expected family contribution. The minimum award is $50 at less than full funding.

[1/] Although the Education Amendments of 1976 authorized that the maximum award be $1,800, the appropriation is such that the maximum award will be $1,600 for the 1978-79 academic year.

- If sufficient funds are not available to meet awards determined by the above reduction schedule, all awards are further reduced by a constant prorata factor.

Program Scope:

Preliminary data for academic year 1976-77 indicate that out of a total of 3,426,504 valid applications, 2,262,348 qualified for Basic Grants. Of the qualifying applicants 1,945,454 (86.0%) received average awards of $775. Dependent students constituted 63.8 percent of qualified applicants in academic year 1976-77; the remainder (36.2%) were independent applicants. In this academic year 6,640 institutions were eligible under the BEOG program.

The Basic Grant appropriation for the 1973-74 academic year was $122.1 million. Eligibility was restricted to students who began their education after July 1, 1973 and who were enrolling on a full-time basis. Awards for 1973-74 ranged from $50-$452. During the second year of operations (1974-75), appropriations were $475 million; award levels ranged from $50-$1,050. Eligibility was expanded to include a second class of students who began their postsecondary education after April 1, 1973, and who were enrolling on a full-time basis. During the third year of operations (1975-76), $1 billion was available; award levels ranged from $200 to $1,400. Eligibility was expanded further to include third year undergraduate students who began their postsecondary education after April 1, 1973, and who were enrolling on at least a half-time basis.

For the 1976-77 academic year, the Basic Grant appropriation language no longer specifies that eligibility be restricted to those students "who began or will begin their postsecondary education after April 1, 1973." Basic Grants are available to all eligible undergraduate students enrolling on at least a half-time basis between July 1, 1976, and June 30, 1977.

In addition to the above expansion of eligibility, Congress approved for the 1975-76 academic year changes in the Family Contribution Schedules liberalizing the treatment of assets, effective income, family size offsets, and independent students. These changes were based on program experience and were designed to improve the equity of the program.

As a result of changes in eligibility, the movement to full funding, and changes in the Family Contribution Schedules, the Basic Grant Program grew dramatically over the 1973-76 period both in terms of numbers of students served and in average awards. The number of BEOG recipients increased from 185,249 in the 1973-74 academic year to 1,945,454 in the 1976-77 academic year (950%), while the average award grew from $269 to $757 (181%).

Perhaps more interesting than the overall growth of the BEOG Program is the changing composition of qualifying applicants in terms of income and dependency status. Over the three years of operation of the Basic Grant Program the number of eligible independent applicants has increased from

39,803 in 1973-74 to 867,610 in 1976-77 (or by a factor of over 21). As a percentage of all applicants, independent applicants have increased their share of total applicants from 12.3 percent in 1973-74 to 36.2 percent in 1976-77. These changes have had important consequences for the overall income distribution of eligibles, which if reflected in the income distribution of participarts (which is presumably the case) has substantial budgetary implications. The percentage of all eligible applicants with family income under $3,000 increased from 25.6 percent in 1973-74 to 32.0 percent in 1976-77. This change occurred in spite of the fact that dependent eligibles in the $0-2,999 income class declined over this period from 17.0 percent to 9.8 percent of all qualifying applicants. While total program expenditures data (and/or average awards) by dependency status are not available, it is likely that the increase in the ratio of independent to total eligible understates the increase in the share of total BEOG expenditures received by independent students. This is so because these students are disproportionately represented in the lowest family income classes.

Program Effectiveness and Progress:

The effectiveness of the Basic Grant program can be thought of in terms of its impact on the structure of financial opportunity faced by students and potential students of differing incomes and associated changes in postsecondary education participation behavior of the target populations. In addition any large scale program such as Basic Grants is likely to have important, but not necessarily intended, side effects on the distribution of financial opportunity and participation by other student characteristics, by educational sector, and on the distributions of other grant programs.

From the individual student's perspective the principal financial barrier to a postsecondary education of a given cost is what he/she must pay out-of-pocket (loans, work, own savings) for a year of schooling. This is the student's loan/work burden or net price, calculated by subtracting grant aid and actual parental contributions from the total cost of attendance.

Student reported data for first-time, full-time students gathered at the beginning of the 1977-78 academic year are presented in Table 1. There are several striking features of this table. First, the percentages of students who neither have to work nor borrow to finance their educational costs are very large. Forty-four percent of the lowest income/tuition cells neither borrow nor work to cover their educational expenses. For the three lowest tuition categories (comprising over 90% of the college population) there is a distinct decline in this percentage between the low and middle income categories--evidence supporting the notion of a relative middle

TABLE 1

DISTRIBUTIONAL STATISTICS FOR TOTAL LOAN-WORK BURDEN
BY PARENTAL INCOME AND COLLEGE TUITION LEVELS
BASED UPON 1977 CIRP FULL-TIME FRESHMAN DATA

TUITION	STATISTIC	PARENTAL INCOME LEVEL $0-5999	$6000-12499	$12500-19999	$20000-29999	$30000 OR MORE
$0-499	PZERO	48%	37%	33%	32%	43%
	P 25	$230	$240	$230	$220	$240
	P 50	$450	$480	$450	$440	$470
	P 75	$820	$840	$870	$860	$950
	MEAN	$710	$680	$680	$710	$790
$500-999	PZERO	32%	25%	21%	27%	41%
	P 25	$310	$340	$360	$330	$270
	P 50	$640	$700	$750	$710	$560
	P 75	$1060	$1250	$1430	$1390	$980
	MEAN	$830	$870	$960	$930	$760
$1000-1999	PZERO	29%	25%	23%	29%	44%
	P 25	$370	$380	$410	$340	$300
	P 50	$730	$760	$810	$750	$630
	P 75	$1320	$1400	$1540	$1540	$1160
	MEAN	$940	$970	$1040	$1040	$870
$2000 OR MORE	PZERO	19%	15%	16%	22%	46%
	P 25	$610	$640	$650	$530	$310
	P 50	$1100	$1170	$1210	$1050	$690
	P 75	$1790	$1850	$1910	$1880	$1390
	MEAN	$1240	$1280	$1330	$1280	$960

PZERO = PROPORTION WITH ZERO
P 25 = TWENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 50 = FIFTIETH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 75 = SEVENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
MEAN = AVERAGE OR MEAN OF THE NON-ZERO DISTRIBUTION

*****PREPARED BY THE POSTSECONDARY PROGRAMS DIVISION OF THE OFFICE OF EVALUATION AND DISSEMINATION, USOE******

income squeeze. Second, there is a remarkable consistency across income in the within cell distribution of loan/work burdens for students with non-zero loan/work burdens. Both the means and the medians (P50), as well as the 25th and 75th percentiles of these distributions, exhibit only small variation with parental income at any tuition level. Third, the levels of the loan/work burdens are quite low. Even in the highest tuition category displayed in Table 1, the median loan/work burden does not exceed $1,210 and the means do not exceed $1,330 for any income group. These net prices (loan/work burdens) are probably well within the current-earnings and borrowing capabilities of most students.

Table 2 shows what loan/work burdens for these students would be in the absence of BEOG's and SEOG's. Because of the nature of the data it was necessary to make the somewhat unrealistic assumption that the distribution of other grant aid and family support would not change with BEOG's and SEOG's. A comparison of Tables 1 and 2 conveys a distinct impression of the impact of these programs on the distribution of prices students face. First, the percentage of students who neither would have to work or borrow to finance their educational expenses would drop dramatically without these two Federal programs. This is especially so at the lower end of the income distribution. Second, in the absence of these programs, loan/work burdens would vary inversely with parental income. That is, financial barriers to postsecondary education would be much higher for lower than for middle and higher income groups.

The data in Tables 1 and 2 make a compelling case that Basic and Supplemental Educational Opportunity Grants (especially the former) have affected a major change in the financial terms of access and choice in the direction of equality of financial opportunity. In fact, the data strongly suggest that the combined financial aid effort is more than adequate to equalize financial barriers to postsecondary education for the vast majority of first-time students.

The effect of grant programs in general and Basic Grants in particular on the participation of young people in postsecondary education is not known with any certainty. Over time so many changes have taken place that cannot be successfully controlled statistically that it is difficult to interpret the small number of available facts. College participation rates by family income (in constant 1967 dollars) for persons 18 to 24 years old show a clear pattern of decline over the 1969-75 period. This is somewhat disconcerting in view of the fact that Office of Education student financial aid programs were growing at an average annual rate of about 20 percent over this period. However, this should not be taken as evidence that OE programs were not having an important impact on college-going decisions. The range of decline was from less than four percent for the less-than-$6,000 income group to over 25 percent for the $25,000-plus income group. This evidence, of course, is consistent with the hypothesis that OE programs had quite a dramatic participation rate impact since the principal focus of this aid has been on low-income students. Moreover, at least a temporary reversal of the longer-term trend of declining participation rate occurred at the tail end of this period

TABLE 2

DISTRIBUTIONAL STATISTICS FOR TOTAL LOAN-WORK BURDEN WITHOUT BEOG OR SEOG
BY PARENTAL INCOME AND COLLEGE TUITION LEVELS
BASED UPON 1977 CIRP FULL-TIME FRESHMAN DATA

TUITION	STATISTIC	PARENTAL INCOME LEVEL				
		$0-5999	$6000-12499	$12500-19999	$20000-29999	$30000 OR MORE
$0-499	PZERO	13%	18%	25%	29%	40%
	P 25	$550	$420	$270	$230	$240
	P 50	$860	$760	$560	$470	$490
	P 75	$1500	$1280	$960	$900	$990
	MEAN	$1060	$910	$770	$730	$810
$500-999	PZERO	10%	14%	18%	25%	40%
	P 25	$740	$550	$410	$340	$280
	P 50	$1290	$970	$830	$740	$580
	P 75	$1860	$1720	$1570	$1440	$990
	MEAN	$1340	$1170	$1040	$900	$790
$1000-1999	PZERO	6%	12%	18%	26%	42%
	P 25	$850	$640	$500	$370	$310
	P 50	$1460	$1130	$910	$800	$660
	P 75	$2270	$1880	$1720	$1610	$1240
	MEAN	$1570	$1330	$1170	$1090	$900
$2000 OR MORE	PZERO	7%	8%	13%	20%	44%
	P 25	$1240	$990	$770	$580	$320
	P 50	$1940	$1720	$1480	$1190	$710
	P 75	$3130	$2860	$2520	$2100	$1460
	MEAN	$2060	$1620	$1600	$1410	$1000

PZERO = PROPORTION WITH ZERO
P 25 = TWENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 50 = FIFTIETH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 75 = SEVENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
MEAN = AVERAGE OR MEAN OF THE NON-ZERO DISTRIBUTION

*****PREPARED BY THE POSTSECONDARY PROGRAMS DIVISION OF THE OFFICE OF EVALUATION AND DISSEMINATION, USOE******

between 1974 and 1975. In all but the highest income group ($25,000+) participation rates increased between these two years with the largest increases (15+%) occurring within the lowest income categories. While there is no basis for inferring a causal relationship, this change was at least temporarily associated with a major expansion of the Basic Grant program and at least does not refute the hypothesis that BEOG's were having an important impact on the college-going decisions of young people from low income families.

Basic Grant program data and recent Higher Education Panel (HEP) Survey results for the 1976-77 academic year indicate that the BEOG program is generally working in the direction of equality of access and choice with respect to the student characteristics of income, sex, and minority status. 1/ Although program data do not include information regarding applicant sex and race, the HEP Survey indicates that the percentage distribution by sex of BEOG recipients in all institutions is such that females are substantially more likely to receive a BEOG than males. Survey results show that Basic Grant recipients were 55.1% female and 44.9% male. These percentages are almost exactly opposite the percentage distribution by sex of total enrollment in the latest NCES data. However, the percentage distribution by sex of all BEOG recipients masks some underlying differences by type and control. While females definitely dominate the percentage distributions in the public sector at two- and four-year institutions, the proportions of male and female BEOG recipients at public universities differ by less than three percentage points. In the private sector, on the other hand, males dominate the sex distribution of BEOG recipients at universities (55.8%), but the higher representation of females in the private two-year (61.9%) and four-year (52.2%) institutions swings the overall distribution in the private sector in favor of females (52.1%). In all cases, however, females are represented among BEOG grant recipients in greater proportion than their representation in total enrollment in each type of institution either public or private.

The percentage of minority students of all students receiving BEOG's is far greater than their percentage in the total population and in their percentage of total postsecondary education enrollment. However, this percentage has fallen from 48.1% in 1974-75 to 43% in 1976-77.

Table 3 shows the percent of black 18 to 24 year old dependent family members by income enrolled in college in 1970 and 1976. While it is only a causal relationship, the distribution of Basic Grants and the remarkable increase in black participation rates displayed in this table cannot be inferred, the data are at least consistent with such an hypothesis.

Table 4 shows the percentage distribution of BEOG recipients by income, type, and control, and dependency status for academic year 1976-77. As is expected, the percentage of BEOG's recipients decline with income for all institutional types. However, in two-year institutions the percentage in the lowest income category is substantially greater than that at four-year institutions. This is no doubt related to the fact that higher income

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1/ The HEP Survey did not include proprietary or public vocational schools.

Table 3

Percent of Black 18 to 24 Year-Old Dependent Family Members Enrolled in College by Income: 1970 and 1976

Family Income (1967 Dollars)	Percent Enrolled 1970	Percent Enrolled 1976	Percentage Change 1970 to 1976
Under $3,000	15.2	20.2	32.9
$3,000-$4,999	19.4	22.1	13.9
$5,000-$7,499	25.5	33.9	32.9
$7,500-$9,999	31.4	40.3	28.3
$10,000 or more	35.9	53.2	48.2

NOTE: Figures for 1976 are an average of 1975 and 1976.

Source: Current population surveys.

students may qualify for a BEOG if they attend a relatively high cost school, whereas they might not qualify at a lower cost institution. Moreover, lower income students are generally more likely to attend two-year schools. Another interesting feature of these data is the prominence of independent students in two-year public schools. Thirty-three percent of BEOG's recipients in two-year schools are independent, while the comparable figure for private universities is only 10.5%.

Table 4

Characteristics of Participants in the Basic Opportunity Grant Program by Type and Control of Institution, 1976-77 (in percentages)

		Public Institutions			
Characteristics	Total All Institutions	Total	Two-Year	Four-Year	University
Dependent Undergraduates					
Family Income					
Less than $7,500	43.5	43.7	44.9	44.5	39.3
$7,500 - 11,999	19.6	18.3	14.7	20.1	23.6
$12,000 or more	11.9	10.7	7.2	12.8	15.2
Independent Undergraduates	24.9	27.3	33.1	22.6	21.9
	100.0	100.0	100.0	100.0	100.0
		Private Institutions			
Dependent Undergraduates					
Family Income					
Less than $7,500		43.4	51.3	42.0	44.2
$7,500 - 11,999		24.7	25.9	24.7	24.0
$12,000 or more		16.4	11.4	16.2	21.3
Independent Undergraduates		15.5	11.3	17.3	10.5
		100.0	100.0	100.0	100.0

The existence of the Basic Grants Program has apparently had an impact on the operation of State student aid programs and on the distribution of awards under these programs. These programs include the Federally shared SSIG program. Twenty-three states and territories report that they require a Basic Grant application as a condition for receiving a State award. Twenty-two States and territories calculate potential BEOG awards and add these to the resources of aid applicants when calculating the States' own awards. In addition several States report that the role that Basic Grants has played in relieving the financial burdens of low income students has enabled them to shift their own resources to aid previously unassisted students.

Ongoing and Planned Evaluation Studies

The Office of Education has recently funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and State governments. Study A is assessing the impact of Federal and State financial aid programs and policies on the choice process of postsecondary bound students. Study B is examining the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C is examining the role of financial aid in student persistence in postsecondary education. Study D is examining the relationship between Federal and State student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid. (Preliminary findings from these studies have been included in the effectiveness section above.)

Another major study of Basic Grants and other OE student financial aid programs which is in progress will examine how the management and operations of these programs impact on the structure of financial educational opportunity, the level and distribution of participation in postsecondary education, and the efficiency of student aid delivery.

Sources of Evaluation Data

Higher Education Panel Survey #36, "Estimated Number of Student Aid Recipients, 1976-77, American Council on Education, Washington, D. C., October 1977.

Higher Education Research Institute: Preliminary tabulations from Studies on the Impact of Student Financial Aid Programs, Phase 2, OPBE contract #300-75-0382.

Education Commission of the States, "A Study of the State Student Incentive Grant Program and State Scholarship Programs," OPBE contract #300-76-0376.

National Association of State Scholarship and Grant Programs, 9th Annual Survey, 1977-78 Academic Year.

For further information about program operations,

Contact: Diane Sedicum, 245-1835

For further information about studies of program effectiveness,

Contact: John Haines, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Supplemental Educational Opportunity Grants Program

Legislation:	Expiration Date:
Title IV Subpart A-2, Public Law 92-318, 86 Stat. 251; as amended Public Law 94-482.	September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1974	$200,000,000 1/	$210,300,000
	1975	200,000,000 1/	240,300,000
	1976	200,000,000 1/	240,093,000
	1977	200,000,000 1/	250,093,000
	1978	200,000,000 1/	270,093,000
	1979	200,000,000 1/	340,100,000

Program Goals and Objectives:

The purpose of the SEOG program is "to provide, through institutions of higher education, supplemental grants to assist in making available the benefits of postsecondary education to qualified students who, for lack of financial means, would be unable to obtain such benefits without such a grant." The more general related goal of the program is to contribute to the promotion of equality of educational opportunity at the postsecondary level.

Program Operations:

Supplemental Educational Opportunity Grants (SEOG) funds for initial year awards are apportioned among the States in the same ratio as a State's full-time and full-time equivalent enrollment bears to the total national full-time and full-time equivalent enrollment. Continuing awards are allotted in accordance with regulations published by the Commissioner of Education. Grants which are awarded by institutions of higher education are designed to provide additional resources to students whose finances are otherwise insufficient to permit attendance without such a grant. The maximum award is $1,500 per year or one-half of the sum of the total amount of student financial aid provided to such student by the institution--whichever is the lesser. The total amount of funds awarded to any student, over the course of

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1/ For initial year grants plus such sums as may be needed for continuing grants.

his academic career, may not exceed $4,000--except in those instances where a student is enrolled in a program of study extending over five academic years, or where particular circumstances, as determined by the institution, require that a student spend an additional year completing a program of study which normally requires four academic years. The limit is then set at $5,000. Awards are limited to students who have been accepted as undergraduates at their respective institutions, who maintain satisfactory progress, who are enrolled at least half time, and who would be financially unable to pursue a program of study at such institutions without such an award.

Program Scope:

In Fiscal Year 1975, 3,406 institutions participated in the SEOG program. This represented a 10.2 percent increase over institutional participation in the SEOG programs in Fiscal Year 1974. There was a further increase of 4.2 percent in institutional participation in the SEOG program between Fiscal Year 1975 and Fiscal Year 1976, with 3,406 institutions participating in the latter fiscal year. During these two years, the largest percentage increase was in the public sector, with institutional participation increasing by 2.2 percent to 1,290 public schools. Proprietary schools increased only slightly, from 843 to 848.

In Fiscal Year 1977, the number of participating institutions increased to 3,549--an increase of 4.2 percent. Of this number, 1,306 were private schools, including 994 proprietary. Although private institutions contribute 36.8 percent of participating institutions they receive only about 34.2 percent of the funds.

In Fiscal Year 1977, public universities received 35.0% of the funds made available. Other public four-year institutions received 6.6%; public two-year colleges, 13.8%; public vocational-technical schools, 1.3%; private universities, 13.9%; other four-year private institutions, 17.5%; private two-year schools, 2.8%; and proprietary schools, 8.2%. This distribution does not differ substantially from previous years. Program data indicate that approximately 445,000 students received average grants of $546.

In Fiscal Year 1974 there were recommended institutional funding levels for SEOG aid of $468,095,414. By Fiscal Year 1975 recommendations had decreased slightly to $458,814,123, and in Fiscal Year 1976 they had increased to $516,442,717 while appropriations remained at less than half of those figures. Recommended requests for Fiscal Year 1977 totaled $597,609,475. The appropriation for use during Fiscal Year 1977 was $240,093,000.

Program Effectiveness and Progress

Preliminary data for 1976-77 indicate that the SEOG program is generally working in the direction of equality of access and choice along the student dimensions of sex, income, and minority status. With respect to the sex characteristic, it is interesting that substantially over half the awards go to females at all institutions except private universities and even at the latter, women receive a percentage of SEOG's (42.3%) which exceeds their proportion in the total enrollment at these institutions. The percentage of minority students receiving Supplemental Grants is 39.1 percent for all institutions, which is far in excess of their percentage of total enrollment. In the public sector, two-year institutions showed the greatest percentage of minority SEOG recipients (48.3%) and public universities the least (36.7%). In the private sector, a different pattern emerges with the lowest percentage of recipients of minority status in two-year institutions (23.6%) and the highest in universities (37.9%).

The following table gives the percentage distributions of SEOG awards by income and dependency status. Over half the awards at all institutions are received by dependent students with family incomes of less than $12,000. While there are some differences by type within the public and private sectors, the pattern referred to above does not differ substantially between sectors.

Table 1

Characteristics of Participants in the Supplemental
Opportunity Grant Program by Type and Control of Institution, 1976-77
(in percentages)

Characteristics	Total All Institutions	Total	Two-Year	Four-Year	University
		Public Institutions			
Dependent Undergraduates					
Family Income					
Less than $7,500	35.4	34.8	37.3	34.6	32.1
$7,501 - 11,999	20.5	18.7	13.3	20.1	23.0
More than 11,999	18.6	14.2	7.9	16.6	17.9
Independent Undergraduates	25.6	32.4	41.5	28.7	26.9
	100.0	100.0	100.0	100.0	100.0
		Private Institutions			
Dependent Undergraduates					
Family Income					
Less than $7,500		36.3	43.3	33.0	37.8
$7,501 - 11,999		23.6	22.4	23.3	25.7
More than 11,999		26.2	15.0	27.4	29.1
Independent Undergraduates		13.9	9.3	16.3	7.4
		100.0	100.0	100.0	100.0

TABLE 2

DISTRIBUTIONAL STATISTICS FOR SUPPLEMENTARY EDUCATIONAL OPPORTUNITY GRANT
BY PARENTAL INCOME AND COLLEGE TUITION LEVELS
BASED UPON 1977 CIRP FULL-TIME FRESHMAN DATA

TUITION	STATISTIC	PARENTAL INCOME LEVEL $0-5999	$6000-12499	$12500-19999	$20000-29999	$30000 OR MORE
$0-499	PZERO	88%	92%	97%	98%	99%
	P 25	$340	$310	$310	$300	$300
	P 50	$480	$430	$410	$390	$400
	P 75	$670	$700	$610	$490	$490
	MEAN	$600	$580	$570	$500	$660
$500-999	PZERO	83%	89%	95%	98%	99%
	P 25	$330	$330	$310	$300	$300
	P 50	$470	$450	$420	$400	$410
	P 75	$810	$760	$620	$520	$580
	MEAN	$580	$540	$480	$500	$580
$1000-1999	PZERO	76%	86%	95%	98%	99%
	P 25	$360	$340	$340	$330	$380
	P 50	$530	$480	$490	$470	$590
	P 75	$910	$800	$840	$790	$870
	MEAN	$720	$560	$600	$550	$740
$2000 OR MORE	PZERO	73%	76%	87%	95%	99%
	P 25	$470	$420	$410	$420	$440
	P 50	$750	$700	$690	$720	$760
	P 75	$1050	$1010	$1040	$1110	$1170
	MEAN	$780	$740	$740	$800	$960

PZERO = PROPORTION WITH ZERO
P 25 = TWENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 50 = FIFTIETH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 75 = SEVENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
MEAN = AVERAGE OR MEAN OF THE NON-ZERO DISTRIBUTION

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While definitive conclusions will have to await further data on numbers of students who would not have attended postsecondary education without a SEOG award and a more detailed breakdown of average award size by student characteristics, it is reasonably apparent that the impact of the SEOG program is in the direction of greater equality of access and choice along the student dimensions of sex, income and minority status.

Table 2 provides distributional statistics for the SEOG program. Being distributed on a need basis, the probability of not receiving an SEOG award (PZERO) varies directly with parental income and inversely with tuition. That is, a low income student attending a high cost college has the greatest probability of receiving an SEOG award. An unexpected finding of these data is that, given that a student receives an SEOG award, its size does not vary substantially with income although it does with college cost. The greater importance of the choice goal in the distribution of SEOG awards is apparent when comparing the data in Table 2 with similar data on the Basic Grants Program (not shown here). This comparison will show that SEOG's as a percentage of BEOG's increases with college cost.

Ongoing and Planned Evaluation Studies:

The Office of Education has funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and State governments. Study A is assessing the impact of Federal and State financial aid programs and policies on the choice process of postsecondary bound students. Table 2 offers preliminary data from Study A. Study B is examining the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C is examining the role of financial aid in student persistence in postsecondary education. Study D is examining the relationship between Federal and State student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid. (Preliminary findings from these studies have been included in the effectiveness section above.)

Another major study of SEOG and other OE student financial aid programs which is in progress will examine how the management and operations of these programs impact on the structure of financial educational opportunity, the level and distribution of participation in postsecondary education, and the efficiency of OE student aid delivery.

Sources of Evaluation Data:

U.S. Department of Health, Education, and Welfare, Office of Education, Bureau of Higher Education Factbook.

Higher Education Panel Survey #36, "Estimated Number of Student Aid Recipients, 1976-77," American Council on Education, October 1977.

Higher Education Research Institute, Preliminary findings from Studies on the Impact of Student Financial Aid, Phase 2, OPBE contract #300-75-0382.

For further information about program operations,

Contact: Robert Coates, 472-2840

For further information about studies of program effectiveness,

Contact: John Haines, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Student Incentive Grant Program

Legislation:

Title IV, Subpart A-3 of the Higher Education Act; as amended Public Law 92-318; as amended Public Law 94-482.

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1973	$50,000,000 1/	None
1974	50,000,000 1/	$20,000,000 2/
1975	50,000,000 1/	20,000,000
1976	50,000,000 1/	44,000,000
1977	50,000,000 1/	60,000,000
1978	50,000,000 1/	63,750,000
1979	50,000,000 1/	76,750,000

Program Goals and Objectives:

The SSIG program is designed to encourage States to develop or expand programs of grant aid to help undergraduate students with "substantial financial need" who attend eligible postsecondary institutions. As with other Federal student assistance programs, SSIG contributes to, and provides an incentive for States to contribute to, the longer term goal of equality of educational opportunity.

Program Operations:

SSIGP is a 50-50 cost-sharing (State-Federal) program under which Federal funds are allotted/reallotted to the States based on a formula reflecting current student attendance patterns. Reallotment is permitted if a State does not use its current allotment. Disbursements are made directly from the Federal Government to the States and from the States to postsecondary institutions on behalf of students. While States are responsible for the selection of grant recipients, selection criteria are subject to review by the Commissioner, and individual student grants are limited to $1,500 per academic year. A State may employ any distribution procedure that falls within the overall scope of the statute.

1/ Plus such sums as may be needed for continuation grants.

2/ Only $19,000,000 was released for allotment.

States are required to administer the funds through a single State agency, with no Federal allowance for administrative costs. To ensure maintenance of effort, State matching for student awards must be in excess of the amounts the State spent for grants two fiscal years prior to the year the State initially received aid under the SSIG program.

Program Scope:

Fifty-six States and territories are potentially eligible for matching grants under the SSIG program. In FY 1974, the first year of SSIG operation, scholarship programs were expanded in 27 States, and completely new programs were established in 14 States and territories. The following year, 9 new States and the District of Columbia joined the network of jurisdictions with operational State scholarship programs. 54 States and territories were included in the SSIG network in 1976.

Under the definition of "substantial financial need," States have a wide latitude in their selection of grant recipients. Students from both low and middle incomes may receive grants under this definition. In FY 1975, an estimated 80,000 students received average grants of $500 ($250 Federal funds). In FY 1976, awards averaging $500 went to an estimated 176,000 students, including two continuation classes and a new round of initial student grantees. The pattern of sunport for four full undergraduate classes was reached in FY 1977.

Program Effectiveness and Progress:

Available data suggest that the SSIG program has been highly successful in stimulating the development of a network of State scholarship programs for the delivery of financial aid to students. The number of States with such programs almost doubled during the first two years of SSIG operations. At the beginning of FY 1978 no State or territory remains outside the SSIG delivery system. In September 1977 the National Association of State Scholarship and Grant Programs in its 9th Annual Survey reported that the State level of funding for student aid had risen dramatically over the years the SSIGP had been in effect. Data for FY 1977 show a rise of 27.7 percent over the previous year in the number of dollars awarded and a 22.5 percent increase in the number of enrolled awardees. While the estimates for FY 1978 do not suggest that these rates of increase will be quite so rapid, the estimated 14.5 percent rise in dollar awards is substantially in excess of expected rates of inflation. Table 1 summarizes the absolute numbers of enrolled awardees and dollars as well as annual rates of growth from FY 1970.

Table 1

History Since 1969-70 of State-Funded Need-Based Undergraduate Scholarship/Grant Programs

Year	# of States/ Territories	# Enrolled Students	Dollar Awards * (Millions)
1969-70	19	470,000	$199.9
1970-71	21	535,200 (up 13.7%)	236.3 (up 18.2%)
1971-72	23	604,000 (up 12.9%)	268.6 (up 13.7%)
1972-73	29	661,700 (up 9.6%)	315.5 (up 17.5%)
1973-74	31	733,300 (up 10.8%)	364.2 (up 15.4%)
1974-75	37	813,100 (up 10.9%)	440.8 (up 21.0%)
1975-76	48	901,900 (up 10.9%)	510.2 (up 15.7%)
1976-77	55	1,104,400 (up 22.5%)	651.4 (up 27.7%)
1977-78	56	1,190,300 (up 7.8%)	746.0 (up 14.5%)

Data disaggregated to the State level presented in Table 2 shows the growth of State programs from the base year of qualifying for SSIGP through FY 1978. Rates of growth among States with programs established prior to SSIGP vary markedly ranging from negative rates for a handful of States to increases of several thousand percent. As a group these States have increased their funding levels for State scholarship and grant programs from $287.0 to $714.5 million for an average rate of growth of 149 percent. The 21 states with no program prior to SSIGP now have programs awarding approximately $27 million. In 14 of these 21 States the Federal government via SSIGP still shares 50 percent of the cost of their State student financial aid programs, while the State share exceeds the Federal share in seven of them.

One impression conveyed by Table 2 is that the importance of Federal SSIGP funds varys dramatically across states. This is confirmed by data presented in Table 3 which shows on a State-by-State basis the percentage that Federal funds (SSIGP) are of all student scholarship/grant dollars. This ranges from 2.6% in New York to 50% in those states that merely match the Federal effort. The national average is eight percent.

In FY 1976, students with family income levels below $6,000 accounted for 36% of the funds and comprised 36% of the recipients. At the other end of the spectrum, middle income students (above $15,000) accounted for 15% of the funds and 15% of the student recipients. Student awards (Federal plus State) averaged $1,000 or more in 4 States, and maximum awards above $1,000 were reported by 25 States. On the other hand, awards averaged under $250 in 7 States. Not counting 2 States where SSIG awards were level funded at less than $100, the national average was $566. By types of institutions, awards for students at public colleges and universities accounted for 59.9% of the recipients and 44.4% of the funds. Awards for students at private colleges and universities accounted for 38.6% of the recipients and 53.0% of the funds. Proprietary schools accounted for 1.1% of the recipients and 2.3% of the funds. A detailed breakdown of SSIG awards by institution type and family income levels for 1975-76 is provided in Table 4.

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* All figures except 1977-78 are known enrolled students with award dollars. 1977-78 are best estimates. All figures are rounded and include both State and Federal (SSIGP) dollars.

Table 2

Growth in State Programs From Base Year of Qualifying for SSIGP - Best Estimate Data

State	Base Year	Base Year Level of Effort (Millions)	1977-78 Total Funds (Millions)	% Age Growth
Alabama	1973	.306	.541	+ 77%
Alaska	1974	.0	.141	--
Arizona	1974	.0	1.400	--
Arkansas	1973	.0	.650	--
California	1972	20.881	78.964	+ 278%
Colorado	1972	6.880	9.894	+ 44%
Connecticut	1972	1.448	6.814	+ 371%
Delaware	1972	1.002	.520	--
District of Columbia	1973	.0	.873	--
Florida	1972	.616	8.290	+1,246%
Georgia	1972	.0	2.807	--
Hawaii	1973	.0	.484	--
Idaho	1973	.0	.388	--
Illinois	1972	41.749	78.103	+ 87%
Indiana	1972	5.040	20.100	+ 299%
Iowa	1972	4.290	11.622	+ 171%
Kansas	1972	.150	4.410	+2,840%
Kentucky	1972	.0	3.514	--
Louisiana	1973	4.782	.559	--
Maine	1972	.0	.730	--
Maryland	1972	3.237	2.117	--
Massachusetts	1972	8.205	14.685	+ 79%
Michigan	1972	12.984	27.812	+ 114%
Minnesota	1972	2.384	22.183	+ 830%
Mississippi	1973	.0	1.044	--
Missouri	1972	.0	7.175	--
Montana	1973	.0	.339	--
Nebraska	1972	.0	.745	--
Nevada	1975	.0	.200	--
New Hampshire	1974	.0	.414	--
New Jersey	1972	20.898	28.977	+ 39%
New Mexico	1974	.0	.561	--
New York	1972	76.400	229.400	+ 200%
North Carolina	1973	.817	2.580	+ 216%
North Dakota	1972	.0	.343	--
Ohio	1972	14.718	29.144	+ 98%
Oklahoma	1972	.0	1.763	--
Oregon	1972	.967	4.613	+ 377%
Pennsylvania	1972	54.726	70.936	+ 30%
Rhode Island	1972	1.793	2.797	+ 56%
South Carolina	1972	.114	8.948	+7,749%
South Dakota	1972	.021	.236	+1,024%
Tennessee	1972	.0	3.050	--
Texas	1972	1.000	16.820	+1,582%
Utah	1972	.186	1.247	+ 570%
Vermont	1972	2.230	3.176	+ 42%
Virginia	1974	1.422	2.488	+ 75%
Washington	1972	1.337	4.950	+ 270%
West Virginia	1972	.299	2.699	+ 803%
Wisconsin	1972	4.296	21.048	+ 390%
Wyoming	1973	.0	.056	--
A. Samoa	1974	.0	.293	--
Puerto Rico	1972	6.000	1.092	--
Virgin Islands	1972	.324	.487	+ 50%
Trust Territory	1972	.536	.560	+ 4%

Table 3

Percent of Federal Funds (SSIG) of All Student Scholarship/Grant Dollars by Rank Order (High to Low)

State/Territory	% SSIG
1. New York	2.6
2. Pennsylvania	3.5
3. Illinois	3.9
4. Vermont	4.6
5. Minnesota	5.0
6. New Jersey	5.3
7. Indiana	5.7
8. Wisconsin	6.0
9. Iowa	7.5
10. Ohio	7.7
11. Colorado	7.9
All States	8.0
12. South Carolina	8.2
13. Michigan	8.9
14. Connecticut	11.2
15. Rhode Island	11.6
16. California	12.2
17. Massachusetts	13.9
18. West Virginia	14.8
19. Oregon	16.1
20. Missouri	16.3
21. Texas	18.9
22. Kentucky	20.3
23. Kansas	20.6
24. Florida	21.6
25. Washington	23.7
26. Maine	29.8
27. Delaware	30.8
28. Tennessee	33.6
29. Utah	35.3
30. Georgia	37.8
31. North Dakota	44.8
32. Hawaii	48.3
33. Montana	48.7
34. Maryland	48.9
35. Virginia	49.5
36. Alabama	50.0
37. Alaska	50.0
38. Arizona	50.0
39. Arkansas	50.0
40. District of Columbia	50.0
41. Idaho	50.0
42. Louisiana	50.0
43. Mississippi	50.0
44. Nebraska	50.0
45. Nevada	50.0
46. New Hampshire	50.0
47. New Mexico	50.0
48. North Carolina	50.0
49. Oklahoma	50.0
50. South Dakota	50.0
51. Wyoming	50.0

Table 4

SSIG Awards by Type of Institution and by Family Income Levels, Academic Year 1975

Type of Institution	Percents	
	Students	Funds
Public	59.9	44.4
Four-Year	(49.0)	(36.1)
Two-Year	(10.9)	(8.3)
Private	38.6	53.0
Four-Year	(37.0)	(51.5)
Two-Year	(1.6)	(1.5)
Proprietary	1.1	2.3
Other	.4	.3

Family Income Levels	Percents	
	Students	Funds
$ 0 - $ 5,999	36.1	35.9
$ 6,000 - $ 8,999	18.8	20.4
$ 9,000 - $11,999	16.4	15.9
$12,000 - $14,999	13.8	12.8
$15,000 - $19,999	11.8	11.2
$20,000 and over	3.1	3.8

Source: SSIG Program files.

Out of the 54 States participating in FY 1976, eligibility included both public and private institutions in 49 States, both two-year and four-year institutions in 52 States, and proprietary institutions in 28 States. Costs covered by student grants included tuition and fees in 53 States, room and board in 41 States, and books and other costs in 41 States. Part-time students were eligible in 21 States and awards were portable to out-of-State institutions in 8 States and 4 territories. The remarkable expansion of institutional and student eligibility that has taken place since the program's inception is indicated in Table 5.

Table 5

Student/Institutional Eligibility for SSIG Awards

	Number of States Reporting	
	FY '74 Network	FY '76 Network
Institutions with Students Eligible		
Total States joining SSIG	41	54
Both Public and Private institutions	35	49
Public institutions only -		
Colorado, Nebraska, Utah, Virginia in '74	4	--
Hawaii, Montana, Colorado in '76	--	3
Private institutions only -		
Maine, South Carolina, Texas in '74	3	--
Maine, New Mexico, South Carolina in '76	--	3
Two-Year as well as Four-Year institutions	37	52
Proprietary schools	12	28
Student Eligibility and Costs Covered		
Part-time students	11	21
Portable to out-of-State institutions 1/	11	12
Tuition and fees	40	53
Room and board	26	41
Books and other costs	23	41

1/ Six other States have reciprocity arrangements for undergraduates.

Source: SSIG Program files.

Ongoing and Planned Evaluation Studies:

The Office of Education has funded a set of four major national studi which will assess the impact of Federal financial aid on students, postsecondary institutions and State governments. Study A is assessing the impact of Federal and State financial aid programs and policies on the choice process of postsecondary bound students. Study B is examining the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C is examining the role of financial aid in student persistence in postsecondary education. Study D is examining the relationship between Federal and State student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid.

The Office of Education is also under contract with the Education Commission of the States for a study to evaluate the SSIGP itself from a programmatic viewpoint. This study will attempt to determine the relative efficiency of various patterns of State administration in student aid programs utilizing SSIG funds, how State needs analysis practices are interrelated with those used in institutions, how aid is packaged for SSIG recipients, under what conditions grants are portable, problems and potential in expanding eligibility of institutions and students to meet legal requirements, and how consistent the State programs are with respect to other Federal based student aid.

Sources of Evaluation Data:

National Association of State Scholarship and Grant Programs, 9th Annual Survey, September, 1977.

Education Commission of the States, "Study of State Student Incentive Grant Program and State Scholarship Programs," U.S. Office of Education, OPBE, contract #300-76-0376.

SSIG Program files.

For further information about program operations,

Contact: Richard McVity, 245-2201

For further information about studies of program effectiveness,

Contact: John Haines, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Work-Study Program

Legislation:	Expiration Date:
Public Law 89-329 of the Higher Education Act of 1965, Title IV-C; as amended Public Law 94-482.	September 30, 1982

Funding History:	Year	Authorization	Appropriation 1/
	1965	2/	$ 55,710,000
	1966	$129,000,000	99,123,000
	1967	165,000,000	134,100,000
	1968	200,000,000	139,900,000
	1969	225,000,000	139,900,000
	1970	275,000,000	152,460,000
	1971	320,000,000	158,400,000 3/
	1972	330,000,000	426,600,000 4/
	1973	360,000,000	270,200,000
	1974	390,000,000	270,200,000
	1975	420,000,000	420,000,000
	1976	420,000,000	390,000,000
	1977	450,000,000	390,000,000
	1978	570,000,000	435,000,000
	1979	600,000,000	550,000,000

1/ Up until FY 1972, the CWS Fiscal Year appropriation was used to fund program operations during the calendar year. With FY 1972, the program became one full year forward-funded.

2/ The Economic Opportunity Act of 1964 authorized a lump sum of $412,500,000 for three youth programs including College Work-Study.

3/ Actual funds available for CWS in this year amounted to $199,700,000, including reprogrammed funds.

4/ Includes $244,600,000 forward funding for FY 1973, plus a supplemental of $25,600,000. A total of $237,400,000 was available for use during FY 1972 from a combination of FY 1971 and FY 1972 appropriations.

Program Goals and Objectives:

The objective of the CWSP under the legislation in effect in FY 1977 was to stimulate and promote the part-time employment of students with great financial need in eligible institutions who need earnings from employment to finance their courses of study. By subsidizing the part-time employment of needy students the program contributes to the longer term Federal goal of equality of educational opportunity at the postsecondary level.

Program Operations:

Under the legislation, employment partially financed by College Work-Study funds could be made available in public or private non-profit organizations including the institution in which a student is enrolled. Students were able to work up to 40 hours per week. The Education Amendments of 1976 extended eligible institutions to proprietary institutions also.

Grants were made to higher education institutions for partial reimbursement of wages paid to students. Since August 1968, these Federal grants have covered up to 80 percent of the student wages, with the remainder paid by the institution, the employer, or some other donor.

Two percent of each year's appropriation was reserved for Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands. A portion was also reserved for students from American Samoa/Trust Territories who attend eligible institutions of postsecondary education outside Samoa or the Trust Territory. The rest was allotted among the 50 States and the District of Columbia, 51 areas, by formula. The formula was based on three factors:

(1) The number of full-time higher education students each area has relative to the total number for the 51 areas.

(2) The number of high school graduates each area has relative to the total number for the 51.

(3) The number of related children under 18 years of age living in families with income of less than $3,000 each area has relative to the total number for 51.

Program Scope:

During Academic Year 1976-77, 3,230 institutions of postsecondary education participated in the CWS program enabling approximately 775,000 students to find part-time employment. The average annual student earnings, including the institutional matching share, amounts to an estimated $525 per student. About 18 percent of CWS funds help finance off-campus jobs held by 16 percent of the CWS job holders. Gross compensation earned by students was almost $469.9 million.

Data from the fiscal operations report show that during Academic Year 1976-77, CWSP funds were distributed to institutions as follows: public universities, 39.5%; other four-year public, 8%; public two-year, 16.7%; private universities, 15.4%; other four-year private, 14.9%; private two-year, 2.3%; public vocational, 1.9%, and proprietary, 1.2%. Ninety one percent of the funds went to undergraduates while 9.0% was awarded to students at the post-baccalaureate level.

In FY 1977, 29.3 percent of the CWS recipients were minorities.

For FY 1978, panels approved $684,107,460 in institutional requests as compared with $435,000,000 actually available for distribution to schools.

Program Effectiveness and Progress:

The CWSP appears to be effective in stimulating the employment of needy students. However, any definitive finding must await data showing how many students would not have found employment in the absence of CWSP. The program is unquestionably popular with postsecondary institutions both as a student aid program and as a means of providing a pool of highly subsidized labor. This pool is also welcomed by other participating non-profit institutions.

With respect to the Federal goals of equality of access and choice, the program appears to be somewhat successful in promoting these ends. A survey in September 1977 indicates that well over half (55.0%) of CWSP participants at all eligible institutions were female, 29.3 percent were from ethnic minorities, and 28.1 percent were dependent undergraduates with family incomes less than $7,500 (see Table 1 below) 1/. These percentages are substantially in excess of the percentages in total enrollment in traditional postsecondary institutions of students with these characteristics. Nonetheless, in that the program is designed to benefit students in great financial need it is somewhat surprising that its impact on minority and low-income students is substantially less than that of the Basic Grant and Supplemental Grant Programs. Twenty-eight percent of CWS recipients are dependent undergraduates with family incomes in excess of $11,999, while the comparable percentages for BEOGP and SEOGP are 11.9 and 18.6 respectively. In terms of minority status, 70.7 percent of CWS participants are from non-minority groups compared to about 60 percent for BEOGP and SEOGP. Thus, CWSP is clearly more middle class and non-minority in its practical orientation than are the two grant programs.

1/ The studies (Higher Education Panel Surveys No. 27 and No. 36) did not include proprietary or public vocational schools.

Table 1

Comparisons of Two HEP Surveys c/

Characteristics	Total (unduplicated count)		BEOG		SEOG		CWS		NDSL		GSL	
	1974-75 a/	1976-77 b/	1974-75	1976-77	1974-75	1976-77	1974-75	1976-77	1974-75	1976-77	1974-75	1976-77
Number of recipients	1,584,000	1,937,000	543,000	1,411,000	350,000	432,000	575,000	698,000	749,000	757,000	669,000	695,000
Average award	--	--	$620	$820	$540	$550	$560	$670	$690	$750	$1,250	$1,380
Sex												
Women	51.0	53.5	54.5	55.1	54.1	53.7	54.0	55.0	49.6	49.7	45.8	46.3
Men	49.0	46.5	45.5	44.9	45.9	46.3	46.0	45.0	50.4	50.3	54.2	53.7
Ethnic Group												
Minority	33.6	34.9	48.1	43.0	47.8	39.1	32.6	29.3	28.9	25.7	18.0	17.0
Nonminority	66.4	65.1	52.0	57.0	52.3	60.9	67.5	70.7	71.1	74.3	82.0	83.0
Status												
Dependent undergraduate family income												
Less than $7,500	33.3	32.9	53.5	43.5	54.3	35.4	38.5	28.1	30.8	21.8	13.5	13.5
$7,500 - $11,999	24.8	17.8	25.3	19.6	22.4	20.5	25.9	18.4	24.7	17.8	18.2	12.9
$12,000 or more	19.1	21.2	7.3	11.9	5.3	18.6	17.2	28.0	21.4	31.0	37.3	40.6
Independent undergraduates	18.0	24.0	14.0	24.9	18.1	25.6	14.5	20.5	17.0	21.6	15.6	18.4
Graduate students	4.8	4.0	--	--	--	--	3.9	5.0	6.1	7.8	15.4	14.6
TOTAL	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

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a/ Excludes Guaranteed Student Loan program, and includes State Student Incentive Grant program.
b/ Excludes Guaranteed Student Loan program.
c/ Higher Education Panel Report No. 27, October 1975 and Higher Education Panel Report No. 36, September 1977.

Recent data for first-time, full-time freshmen from the fall of 1977 is displayed in Table 2. These data indicate that the need-based dimension of the CWSP manifests itself as a decline in the proportion of students receiving such aid as parental income rises and as tuition increases. At the $0-499 tuition level the proportions of students using this means of financing net price decline from 15 percent at the lowest parental income level to 3 percent at the $20,000-29,999 income level. In the highest tuition schools ($2,000 or more) the proportion of students receiving this assistance declines from 39 percent to 19 percent between the less-than-$6,000 and the $20,000-29,999 income levels. At the lowest parental income level the proportion of students receiving CWS assistance increases from 15 percent in the lowest tuition category to 39 percent in the $2,000-or-more tuition category. This general relationship holds for all but the highest income level. There is very little variation in award size with either parental income or tuition.

Table 3 displays fall 1977 data for first-time, full-time freshmen on all earnings (CWS and other earnings combined). These data indicate the following: (1) except at the highest tuition level low-income students are much less likely than middle-income students to finance their loan-work burdens by working. (2) At all but the highest income level the proportions of students using this means of financing increases with tuition. (3) Among those students having some earnings there is very little variation with parental income in the amounts earned at any tuition level. (4) Except between the two lowest tuition categories there is a slight tendency for total earnings to rise with tuition.

A comparison of student data on the distributions of loan-work burdens, CWS, and all earnings indicate that middle income students typically face higher loan-work burdens, are more dependent on earnings to finance these, and have less access to CWS support even though their net need is greater than that of low-income students.

Ongoing and Planned Evaluation Studies:

The Office of Education, as noted last year, funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and State governments. Study A is assessing the impact of Federal and State financial aid programs and policies on the choice process of postsecondary bound students. Study B is examining the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C is examining the role of financial aid in student persistence in postsecondary education. Study D is examining the relationship between Federal and State student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid.

TABLE 2

DISTRIBUTIONAL STATISTICS FOR COLLEGE WORK-STUDY BY PARENTAL INCOME AND COLLEGE TUITION LEVELS BASED UPON 1977 CIRP FULL-TIME FRESHMAN DATA

TUITION	STATISTIC	PARENTAL INCOME LEVEL $0-5999	$6000-12499	$12500-19999	$20000-29999	$30000 OR MORE
$0-499	PZERO	85%	87%	92%	97%	97%
	P 25	$240	$230	$250	$210	$220
	P 50	$460	$440	$470	$390	$410
	P 75	$800	$760	$800	$700	$710
	MEAN	$610	$540	$570	$540	$670
$500-999	PZERO	79%	84%	89%	95%	99%
	P 25	$210	$240	$230	$230	$190
	P 50	$400	$460	$430	$430	$350
	P 75	$710	$760	$730	$730	$570
	MEAN	$530	$530	$510	$540	$480
$1000-1999	PZERO	73%	81%	87%	94%	97%
	P 25	$270	$280	$270	$270	$290
	P 50	$520	$540	$520	$520	$550
	P 75	$810	$810	$790	$810	$820
	MEAN	$590	$570	$550	$600	$600
$2000 OR MORE	PZERO	61%	61%	68%	81%	96%
	P 25	$350	$330	$320	$290	$300
	P 50	$630	$600	$590	$560	$570
	P 75	$850	$830	$830	$810	$830
	MEAN	$630	$590	$600	$580	$630

PZERO = PROPORTION WITH ZERO
P 25 = TWENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 50 = FIFTIETH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 75 = SEVENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
MEAN = AVERAGE OR MEAN OF THE NON-ZERO DISTRIBUTION

*****PREPARED BY THE POSTSECONDARY PROGRAMS DIVISION OF THE OFFICE OF EVALUATION AND DISSEMINATION, USOE******

TABLE 3

DISTRIBUTIONAL STATISTICS FOR TOTAL OF ALL EARNINGS
BY PARENTAL INCOME AND COLLEGE TUITION LEVELS
BASED UPON 1977 CIRP FULL-TIME FRESHMAN DATA

		PARENTAL INCOME LEVEL				
TUITION	STATISTIC	$0-5999	$6000-12499	$12500-19999	$20000-29999	$30000 OR MORE
$0-499	PZERO	51%	40%	35%	34%	44%
	P 25	$210	$230	$220	$220	$240
	P 50	$400	$430	$410	$410	$450
	P 75	$720	$780	$760	$780	$890
	MEAN	$590	$590	$590	$630	$740
$500-999	PZERO	42%	33%	28%	32%	43%
	P 25	$240	$240	$260	$260	$250
	P 50	$460	$460	$490	$490	$480
	P 75	$800	$810	$860	$870	$860
	MEAN	$580	$580	$630	$660	$650
$1000-1999	PZERO	37%	34%	31%	35%	46%
	P 25	$270	$260	$270	$260	$270
	P 50	$520	$500	$510	$490	$530
	P 75	$860	$850	$890	$890	$910
	MEAN	$630	$630	$650	$690	$690
$2000 OR MORE	PZERO	31%	25%	25%	30%	49%
	P 25	$340	$360	$380	$340	$270
	P 50	$640	$660	$680	$650	$530
	P 75	$910	$930	$960	$970	$920
	MEAN	$680	$700	$740	$740	$690

PZERO = PROPORTION WITH ZERO
P 25 = TWENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 50 = FIFTIETH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 75 = SEVENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
MEAN = AVERAGE OR MEAN OF THE NON-ZERO DISTRIBUTION

*****PREPARED BY THE POSTSECONDARY PROGRAMS DIVISION OF THE OFFICE OF EVALUATION AND DISSEMINATION, USOE******

Another major study of Basic Grants and other OE student financial aid programs which is in progress will examine how the management and operations of these programs impact on the structure of financial educational opportunity, the level and distribution of participation in postsecondary education, and the efficiency of student aid delivery.

Sources of Evaluation Data:

Program files, Bureau of Postsecondary Education.

Higher Education Panel Survey #27, "Student Assistance Programs," American Council on Education, Washington, D. C., October 1975.

Bureau of Applied Social Research, The Federal College Work-Study Student Assistance Programs, Fall 1971, Washington, D. C., 1974.

Higher Education Research Institute: Preliminary Tabulations from Studies on Impact of Student Financial Aid Programs, Phase 2, OPBE Contract #300-75-0382.

Higher Education Panel Survey #36, "Estimated Number of Student Aid Recipients, 1976-77," American Council on Education, Washington, D. C., September 1977.

For further information about program operations,

Contact: Robert Coates, 472-2840

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Direct Student Loan Program

Legislation:

Title IV, Part E of the HEA 1965 Public Law 89-329, as amended. 1/

Expiration Date:

June 30, 1981

Funding History:

Year	Authorization 2/	Appropriation 3/
1966	$179,300,000	$181,550,000
1967	190,000,000	192,000,000
1968	225,000,000	193,400,000
1969	210,000,000	193,400,000
1970	325,000,000	195,460,000
1971	375,000,000	243,000,000
1972	375,000,000	316,600,000 4/
1973	400,000,000	292,970,000 5/
1974	400,000,000	298,000,000
1975	400,000,000	329,440,000
1976	400,000,000	331,960,000
1977	400,000,000	323,220,000
1978	400,000,000	325,660,000
1979	400,000,000	328,900,000

1/ Prior to FY 1973, the program was known as the National Defense Student Loan Program. Title II of NDEA of 1958 as amended (P.L. 85-864).

2/ Authorization for Federal capital contributions to loan funds only. In addition, a total of $25,000,000 was authorized for loans to institutions from Fiscal Year 1959 through the duration of the Act.

3/ Appropriation includes contributions to loan funds, loans to institutions, and Federal payments to reimburse institutions for teacher/military cancellations.

4/ Actual FY 1972 appropriation was $316,600,000. However, 23.6 million was mandated to be used during FY 1973. The difference of $293.0 million was made available for use during FY 1972, of which $286 million was for contribution to loan funds.

5/ Of this amount $269,370,000 was available for use in FY 1973 and $23,600,000 was mandated for FY 1974.

Program Goals and Objectives:

The objective of the program is to allocate funds to postsecondary institutions for the purpose of making long-term, low-interest loans to students with financial need. These loans are to provide lower-income students with an additional source of funds for access to postsecondary education and to help provide middle-income students with another source of funds with which they may choose a broader range of institutions. Such loans complement other forms of student financial assistance such as Basic and Supplemental Educational Opportunity Grants, College Work-Study, and Guaranteed Student Loans.

Program Operations:

Funding is initially allotted to States by means of an allotment formula and by regulation. Funding levels for institutions within each State were recommended by regional review panels consisting of OE Program Officers from the regional and national offices and financial aid officers selected from institutions in that region. Recommended funding levels were generally in excess of the annual NDSL allotment for a State. In such cases, the entire group of institutions within a State received less than 100 percent of their panel approved amount. However, each institution within that group receives a pro-rated reduction in its allocation which, in percentage, is equal to that of every other institution in the State. Institutions often distribute NDS loans in conjunction with other forms of financial aid and financial aid officers "package" these various aid components in different ways depending on available funds and student circumstances. Students may borrow a total of: (a) $2,500 if they are enrolled in a vocational program or if they have completed less than two years of a program leading to a bachelor's degree; (b) $5,000 if they are undergraduate students and have already completed two years of study toward a bachelor's degree (this total includes any amount borrowed under the NDSL for the first two years of study); (c) $10,000 for graduate or professional study (this total includes any amount borrowed under the NDSL for undergraduate study). Upon leaving the institution, students sign a repayment agreement which specifies the duration and amount of repayment. After a nine-month grace period following cessation of studies, the student begins repayment (on a monthly, bimonthly, or quarterly basis), normally over a ten-year period. The borrower's ten-year repayment period may be deferred not to exceed three years for service with VISTA, the Peace Corps, or military services.

A percentage of the total loan amount may be cancelled for individuals providing special services in specific teaching areas and for members of the Armed Forces of the United States' serving in areas of hostility.

Program Scope:

In Fiscal Year 1975, 3,167 institutions participated in the program. Institutional participation increased during the Fiscal Years 1976 and 1977 with 3,350 institutions participating in the latter fiscal year. The estimated average loan per student during the Fiscal Years 1975 and 1976 was $690. It is estimated the same average will be maintained in Fiscal Year 1977. Loans for the required matching institutional capital contributions were made to 90 institutions during Fiscal Year 1975 and 72 institutions during Fiscal Year 1976. Estimated data for Fiscal Year 1975 show that new loan cancellations at the 10% rate were received by 80,000 borrowers and 120,000 by continuing borrowers. The number of new borrowers receiving cancellations at the 15% rate was 60,000 while 40,000 continuing borrowers received cancellations for a total of 300,000.

For Fiscal Year 1977 the aggregate U.S. requests for new Federal capital contributions exceeded final recommended amounts by 23%, while the actual program appropriation was sufficient only to fund 51% of the recommended funding level nationwide.

Program Effectiveness and Progress:

Program effectiveness can be partially measured by analyses of the distributions of funds by the various characteristics of student borrowers.

These analyses focus upon a number of significant trends related to the following issues: (1) what are the income characteristics of NDSL recipients? (2) what is the relationship between use of National Direct loans and use of guaranteed student loans? and (3) what is the status of delinquencies and defaults in the NDSL program?

I. Family income and attendance characteristics of NDSL recipients

Of the estimated 690,000 students receiving NDSL's in FY 1975, the distribution of loan volume by family income is shown below for the approximately 480,000 undergraduate dependent borrowers 1/:

Undergraduate Dependent Students

Gross Family Income	Number of Recipients	Percentage
$ 0 - $ 5,999	147,922	30.9%
$ 6,000 - $ 8,999	100,270	20.9%
$ 9,000 - $11,999	92,287	19.2%
$12,000 and over	139,281	29.0%
All Incomes	479,760	100.0%

1/ No income distributions are available for undergraduate and graduate independent students who borrowed.

This distribution indicates that National Direct loans still go to students in the lowest income categories disproportionate to their percentage enrollment in higher education institutions. The percentage of borrowers represented by the $12,000 and over income category has increased significantly in recent years. 1/

Undergraduate independent students constituted 23.5 percent of all NDSL borrowers in FY 1975 while graduate students, all of whom are classified as independent, comprised about 7.0 percent of all NDSL borrowers. Whereas independent students accounted for a volume of total loans close to their numerical proportion (24.1 percent of all NDSL volume), graduate students borrowed 12.4 percent of total volume in comparison with their 7.0 percent numerical representation. 2/

II. Analysis of Freshman NDSL Participation

1977 CIRP data for full-time freshmen continue to show moderate NDSL borrowing relative to the total freshman population. For example, the largest proportion of NDSL borrowers, by parental gross income and tuition cost, is only 30 percent. This rate applies to those in the lowest income category ($0-6,000) attending the highest tuition schools ($2,000 or more). The next highest participation rate (29%) is from the next lowest income group ($6,000-12,500) attending the highest tuition colleges. Higher proportions of freshmen NDSL borrowers are generally concentrated in the lowest-income groups. However, those lower-income students ($0-12,500) attending the two lowest-cost categories of colleges (up to $1,000) have a lower NDSL participation rate (4-12%). This is not surprising in view of the fact that these students are more likely to be eligible for larger amounts of grant aid.

Above $20,000 of family income, NDSL participation rises with tuition. However such participation rates do not exceed 11 percent for this middle and higher income group and above $30,000 participation is only about one percent. For those with family incomes above $20,000, NDSL participation rates are only about one-fourth the rates for those with incomes below $20,000.

1/ That is, more persons previously in lower-income categories have become $12,000+ earners because of larger annual increases in wages due to rapid inflation during the 1973-75 period.

2/ Program file analysis. Bureau of Student Financial Assistance, FY 1977.

TABLE 4

DISTRIBUTIONAL STATISTICS FOR NATIONAL DIRECT STUDENT LOANS
BY PARENTAL INCOME AND COLLEGE TUITION LEVELS
BASED UPON 1977 CIRP FULL-TIME FRESHMAN DATA

		PARENTAL INCOME LEVEL				
TUITION	STATISTIC	$0-5999	$6000-12499	$12500-19999	$20000-29999	$30000 OR MORE
$0-499	PZERO	96%	96%	97%	98%	99%
	P 25	$320	$320	$330	$380	$420
	P 50	$430	$450	$460	$630	$610
	P 75	$790	$780	$670	$1190	$1530
	MEAN	$600	$560	$580	$870	$970
$500-999	PZERO	88%	88%	91%	95%	99%
	P 25	$360	$390	$400	$500	$490
	P 50	$530	$670	$790	$1010	$1080
	P 75	$950	$1110	$1370	$1720	$1850
	MEAN	$710	$700	$890	$1150	$1230
$1000-1999	PZERO	87%	88%	90%	95%	99%
	P 25	$370	$400	$430	$550	$550
	P 50	$570	$600	$740	$900	$870
	P 75	$890	$990	$1220	$1580	$1560
	MEAN	$670	$710	$840	$1070	$1100
$2000 OR MORE	PZERO	70%	71%	76%	87%	98%
	P 25	$530	$560	$560	$560	$630
	P 50	$840	$870	$680	$890	$960
	P 75	$1300	$1390	$1430	$1470	$1640
	MEAN	$880	$890	$930	$960	$1140

PZERO = PROPORTION WITH ZERO
P 25 = TWENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 50 = FIFTIETH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 75 = SEVENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
MEAN = AVERAGE OR MEAN OF THE NON-ZERO DISTRIBUTION

*****PREPARED BY THE POSTSECONDARY PROGRAMS DIVISION OF THE OFFICE OF EVALUATION AND DISSEMINATION, USOE******

Loan amounts received by borrowers vary as expected, directly with tuition costs. For example, for those in the $6,000-12,500 income category, the average loan amounts in the two lowest-tuition categories range from $560 to $780, whereas, for those in the same income group in the two highest tuition categories the loan amounts are $710-890. Less consistent, however, is the fact that within the same tuition categories, loan amounts increase proportionately with family income; students from higher income families receiving larger loans than students from lower income families attending the same cost institution. For example, in the $1,000-1,999 tuition category, students from families in the lowest-income category receive an average loan of $670 while students in the highest-income category receive an average loan of $1,100. This difference may be partially explained by the fact that among higher income students there is more likely to be a higher proportion of individuals who qualify for aid only because of special financial circumstances. Despite higher loan amounts, the probability of a higher income student receiving an NDSL is much smaller than for a lower or middle income student.

III. Relationship between utilization of NDSLP and GSLP

For a number of years different hypotheses have existed about whether guaranteed student loans are regularly packaged with NDSL's, or, whether NDSL funds serve primarily as a substitute for unavailable guaranteed student loans.

Analysis of 34,520 borrowers who were full-time freshmen of the fall of 1976 revealed the following distribution, by type of loan:

NDSL only	17,220	(49.9%)
GSL only	15,235	(44.1%)
Both NDSL and GSL	2,065	(6.0%)
TOTAL	34,520	100%

This distribution indicates that only 6 percent of all borrowers have a package containing both an NDSL and a GSL.

It was also found that there were differential awards of NDSL's and GSL's by family income level regardless of institutional cost.

Income Level	NDSL	GSL	Both
< $8,000	58.8	34.5	6.7
$8,000 - $20,000	53.7	40.3	6.0
< $20,000	32.0	62.8	5.2

We also observed that the largest proportion students from the lowest income category (< $8,000) received NDSL's at institutions having tuitions between $1,500 - $2,800. However, the largest proportion of students from the highest income category also received NDSL's at institutions having the identical cost range of $1,500 - $2,800. Furthermore, low-income NDSL recipients at the highest cost institutions comprised only 6.3 percent of all NDSL recipients while the highest-income NDSL borrowers represented 12.5 percent of all NDSL recipients at the highest-cost institutions. This would appear to indicate the probability that, while NDSL funds are progressively "targeted" to lower-income students the progressivity of that targeting is not pronounced and some NDSL funds are available to middle-income students at medium and higher priced institutions. This generally confirms aggregate program data.

Among the lowest-income group, there were 1.7 times as many NDSL's as GSL's, regardless of institutional cost. Among the highest-income, that ratio was reversed, showing 2.0 GSL's for every NDSL. When analyzed by combinations of income and institutional cost, however, the following pattern appears:

	Ratio of NDSL's to GSL's	Ratio of GSL's to NDSL's
Lowest-income Lowest-cost	2.2	--
Lowest-income Highest-cost	1.6	--
Highest-income Lowest-cost	--	2.0
Highest-income Highest-cost	--	2.6

One inference is that the packaging of a GSL and an NDSL is more dependent on unique or individual circumstances (probably related to availability of the expected parental contribution) than to variations of gross income and institutional cost.

IV. NDSL delinquency and default

Total delinquency and default in NDSLP has been increasing rapidly during recent years. For example, at the end of FY 1973, the total number of students whose accounts were more than 120 days past due (the GSLP criterion for default) was approximately 423,000 and the value of those delinquent accounts, $262 million. By the beginning of FY 1976, however, the number of students with seriously delinquent loans had risen to about 580,000 and the value of these loans to $413 million. Trend analysis indicates that by the end of FY 1978 the value of defaulted National Direct student loans will have increased to more than $600 million. Furthermore, about 45 percent of these loans have been in default more than two years, indicating that they may be much more difficult to collect.

Many of NDSLP's problems originate, however, at the disbursement level (educational institutions) where no immediate and direct program control is possible. The Office of Education is conducting a major, large-scale evaluation of the administration of campus-based programs, including NDSLP. This study will provide definitive data on the operation of this program at the level of the individual institution.

Ongoing and Planned Evaluation Studies:

During FY 1978 a contract was awarded to Applied Management Sciences, Silver Spring, Maryland, to conduct an evaluation of the efficiency and effectiveness of procedures employed by the Federal Government and institutions of postsecondary education in the operation and management of the campus-based and Basic Grant programs.

Sources of Evaluation Data:

U.S. Department of Health, Education, and Welfare, Office of Education, Bureau of Higher Education. Factbook, 1976 Washington, D. C., 1973.

Higher Education Panel Reports, Number 18, American Council on Education. The Impact of Office of Education Student Assistance Program, Fall 1973. Washington, D. C., April 1974.

Program files, Division of Student Financial Aid.

Higher Education Research Institute, Los Angeles, California, Office of Planning, Budgeting, and Evaluation Contract #300-75-0382.

For further information about program operations,

Contact: David Iwamoto, 472-7.77

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Guaranteed Student Loan Program

Legislation:

Title IV-B, Higher Education Act of 1965, enacted by Public Law 89-329; amended by Public Laws 90-460, 90-575, 91-95, 92-318, 93-269, 94-328 and 95-43.

Expiration Date:

September 30, 1981

Funding History:

Year	Loan Volume		Obligations 1/	Appropriation 1/	
1966	$ 77,492,000	2/	$ -	$ 9,500,000	2/
1967	248,494,000	2/	15,532,000	43,000,000	2/
1968	435,849,000	2/	39,937,000	40,000,000	2/
1969	686,676,000		60,571,000	74,900,000	
1970	839,666,000		118,387,000	73,226,000	
1971	1,043,933,000		135,616,000	161,200,000	
1972	1,301,577,000		228,708,000	209,365,000	
1973	1,198,523,000		304,237,000	291,640,000	
1974	982,000,000	3/	422,321,000	398,668,000	
1975	1,208,000,000	3/	464,163,000	594,200,000	
1976	1,735,000,000	3/	560,889,000	807,787,000	
1977	1,470,000,000	3/	538,896,000	357,312,000	
1978	1,854,000,000	3/	705,317,000	519,663,000	
1979	1,773,000,000		757,244,000	750,814,000	

Program Goals and Objectives:

The objective of the program is to provide loans to students attending eligible institutions of higher education, vocational, technical, business and trade schools, and eligible foreign institutions. This program is designed to utilize nonfederal loan capital supplied primarily by commercial lenders but also by some educational institutions acting as direct lenders. These loans are guaranteed either by individual State or private nonprofit agencies (reinsured by the Federal government) or directly by the Office of Education. The objective of such guarantees is to provide a substitute for collateral which is generally unavailable from students. This permits lenders to make loans

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1/ Includes: advances for reserve funds, expenditures for interest payments, administrative allowances, death and disability claims, special allowance, bankruptcy claims and default claims. Costs for computer services and other S & E items are not included.

2/ Includes loans primarily carried under Vocational Education.

3/ Disbursed loan volume rather than commitments as for prior years.

directly to students (not their families) without these students having to establish credit ratings. The goal is to provide the broadest possible access to loan capital without the usual constraints of credit-worthiness and provision of collateral to secure the loan. Such broad access to loan capital is intended to provide freer access by students to postsecondary education and a wider choice in the types of institutions attended. Guaranteed loans are an important supplement to other Office of Education programs of student financial aid, providing low-income students with an additional source of funds and providing many middle and upper middle-income students with their primary source of Federal assistance.

Program Operations:

The principal of the loan is provided by participating lending institutions such as commercial banks, savings and loan associations, credit unions, insurance companies, pension funds, and eligible educational institutions. The loan is guaranteed by a State or private non-profit agency or insured by the Federal government.

Loans are divided between those insured by States or private nonprofit agencies and reinsured (80-100 percent) by the Federal government and those directly insured by the Federal government. The following is a description of the program during FY 1977. A student is eligible if he is enrolled and in good standing or accepted for enrollment at least half time at an eligible institution and is a United States citizen or is in the United States for other than a temporary purpose and intends to become a permanent resident thereof. The total aggregate of loans outstanding cannot exceed $7,500 for undergraduate students and $15,000 for graduate students, including undergraduate loans. Students are eligible for Federal interest benefits if their adjusted family income is under $25,000. For students found eligible for interest benefits, the Federal government will pay to the lender the total interest due prior to the beginning of the repayment period and during authorized deferment periods thereafter. Students not eligible for Federal interest benefits may still apply for a loan but will have to pay their own interest. In all cases the student pays the total interest at an annual percentage rate of 7% during the repayment period, which begins 9-12 months after graduation or withdrawal from school. Deferment is provided for when the student returns to full-time study at an eligible educational institution or enrolls in certain graduate fellowship programs approved by the U.S. Commissioner of Education. A deferment period of up to three years is also provided while the borrower is serving in the Armed Forces, Peace Corps or full-time volunteer programs conducted by ACTION (which includes VISTA, University Year for ACTION, ACTION Cooperative Volunteer Programs and Program for Local Service). In addition, repayment may be deferred during a single period, not to exceed one year, during such time that the borrower is seeking and unable to find full-time employment.

A statutory formula provides for a special allowance to be paid to lenders in order to promote an equitable return to holders of loans, to encourage prompt payment, to give appropriate consideration to relative administrative costs and money market conditions, and to give lenders a better and more accurate way of assessing such payments for current and prospective payments. The special allowance is computed by determining the average of the bond equivalent rates of the ninety-one-day Treasury bills for the three month period, by subtracting 3.5 percent from this average, by rounding the resultant percent upward to the nearest one-eighth of one percent, and by dividing the resultant percent by four. The rate which is determined quarterly could exceed three percent for any twelve month period ending prior to September 30, 1977. After October 1, 1977, the special allowance cannot exceed the annual rate of five percent. A committee was established to study the intent, determination and effectiveness of the special allowance. A final report to Congress was forwarded on October 1, 1977.

Several of the above provisions resulted from changes included in the Education Amendments of 1976 (P.L. 94-482). Other major changes are: (1) a series of incentives is provided to encourage more States to form and operate their own guarantee agencies. Existing State guarantee agencies are also given additional compensation in order to carry out specific functions; (2) in some cases, there are certain limitations on the total annual amount of the loan depending upon the total cost of education at the institution attended by the borrower and upon the policy of the lender in making multiple disbursements of the loan principal; (3) graduate and professional school students may now borrow a total of up to $15,000, rather than $10,000 as had previously been the case; (4) under certain conditions, State guarantee agencies may be reinsured by the Federal government at 100 percent of losses due to claims for death, disability, and default. This maximum reimbursement is linked to a State agency default rate of 5 percent or less, and the "default rate" for purposes of this provision only, is redefined; (5) student loan obligations may not be discharged in bankruptcy within 5 years of the time the repayment of the loan was to have begun except in the case of borrower hardship; and (6) the Commissioner is authorized to contract with private business firms, State student loan insurance agencies, or State guarantee agencies for assistance in the recovery of defaulted loans.

Program Scope:

Cumulative disbursements insured through FY 1978 are allocated 40 percent to Federally Insured Student Loan Program (FISLP) and 60 percent to State Guarantee Agencies. Loans are provided to students attending 3,581 eligible schools of higher education, 3,289 vocational, technical, business, and trade schools, and 856 foreign educational institutions.

In Fiscal Year 1978 an estimated 12,000 institutions were approved and making loans. These lenders made an estimated 236,000 Federal loans as well as an estimated 789,000 State and other loans totalling 1,025,000 disbursed. The total amount of loan disbursements was estimated at $1,854,000,000. Federal loans disbursements were estimated at $417,000,000 and $1,435,000,000 for State and other. The amount of the average loan disbursed was $1,809. The foregoing information is subject to revision because the Fiscal Year 1978 fourth quarter figures are currently unavailable. It is the fourth quarter figures (July - September) that represents the highest volume months in the GSLP.

Of the total FY 1977 obligations $225.3 million are estimated for interest benefits, $105.9 million for special allowance payments, $4.9 million for death and disability payments, $11.5 million for bankruptcy losses, and $185.1 million for the payment of defaulted claims.

Program Effectiveness and Progress:

I. Distribution of Loans

Program effectiveness can be partially measured by indicating the distribution of loans among borrowers with different characteristics in order to determine whether use of these loans meets the objective of broad access to loan capital. These distributions can be compared with those of other student assistance programs which are, by design, targeted to students from lower income families. An additional measure of the program's progress is reduction in the default rate.

In FY 1975, 22.8 percent of all borrowers (both dependent and independent students) were from families with an adjusted family income less than $3,000; 24.4 percent had family incomes between $3,001 and $6,000; 15.1 percent between $6,001 and $8,000; 19.9 percent between $8,001 and $11,000; 15.7 percent between $11,001 and $14,999; and 2.5 percent over $15,000. Percentages for the $0-3,000 and $3,001-6,000 income categories are believed to overrepresent the proportion of low-income borrowers participating in the program. Preliminary evidence suggests that many low-income borrowers are "independent" students whose families have middle and upper-middle income status.

The percent distribution of FISLP loans disbursed by ethno-racial category was: 11.6 percent black; 2.6 percent Spanish American; 0.5 percent Oriental American; 77.9 percent white; and 7.4 percent not responding. Approximately 66 percent of loans are to males and 34 percent to females. 44 percent of loans go to first year students, 15 percent to second year students, 16 percent to third year students, 14 percent to fourth and fifth year students, and 11 percent to graduate students. The average age of borrowers has been increasing as proprietary schools participated more intensively in the program; 26 percent of all borrowers in FY 1973 were 27 years of age of older. Approximately 57 percent of borrowers were single.

II. Analysis of Freshmen GSLP Participation

The CIRP data for FY 1976 tend to confirm the view that freshmen do not participate proportionately in the GSLP program. Whereas the overall program participation rate is about 14 percent, the participation rate for freshmen is about 10 percent. Variation from this average is primarily related to family income. For example, participation rates at all tuition levels are nearly identical as between borrowers in the $6,000-12,500 family income category

TABLE 5

DISTRIBUTIONAL STATISTICS FOR GUARANTEED STUDENT LOANS
BY PARENTAL INCOME AND COLLEGE TUITION LEVELS
BASED UPON 1977 CIRP FULL-TIME FRESHMAN DATA

		PARENTAL INCOME LEVEL				
TUITION	STATISTIC	$0-5999	$6000-12499	$12500-19999	$20000-29999	$30000 OR MORE
$0-499	PZERO	95%	96%	95%	96%	98%
	P 25	$370	$360	$370	$440	$470
	P 50	$620	$580	$620	$920	$940
	P 75	$1340	$1210	$1190	$1770	$1860
	MEAN	$960	$770	$860	$1190	$1210
$500-999	PZERO	92%	90%	87%	90%	96%
	P 25	$430	$570	$680	$910	$1010
	P 50	$490	$1090	$1320	$1470	$1490
	P 75	$1750	$1770	$1940	$2000	$1960
	MEAN	$1130	$1200	$1360	$1480	$1480
$1000-1999	PZERO	87%	86%	86%	89%	96%
	P 25	$630	$610	$810	$980	[illegible]
	P 50	$1180	$1300	$1490	$1540	$1540
	P 75	$1690	$1990	$2100	$2080	$2100
	MEAN	$1320	$1380	$1530	$1560	$1600
$2000 OR MORE	PZERO	84%	83%	81%	83%	94%
	P 25	$730	$770	$900	$1020	$1120
	P 50	$1250	$1300	$1420	$1540	$1640
	P 75	$1610	$1840	$1930	$2060	$2130
	MEAN	$1280	$1310	$1430	$1570	$1710

PZERO = PROPORTION WITH ZERO
P 25 = TWENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 50 = FIFTIETH PERCENTILE OF THE NON-ZERO DISTRIBUTION
P 75 = SEVENTY-FIFTH PERCENTILE OF THE NON-ZERO DISTRIBUTION
MEAN = AVERAGE OR MEAN OF THE NON-ZERO DISTRIBUTION

*****PREPARED BY THE POSTSECONDARY PROGRAMS DIVISION OF THE OFFICE OF EVALUATION AND DISSEMINATION, USOE******

and borrowers in the $12,500-19,999 income category. However, these participation rates range from a low of 5 percent for those attending the lowest-tuition schools ($1-499) to 19 percent for those attending the highest-cost schools ($2,000 or more). This systematic increase in participation rates as tuition levels increase is true of all income groups except for the highest income group attending the most expensive schools. However, borrowers in this group are neither numerous nor representative since in FY 1976 they were not eligible for subsidized loans.

As with National Direct Student Loan Program (NDSL), the size of the loan increases as family income increases. For example, at a college with tuition in the $1,000-1,999 range, a borrower in the lowest-income category borrows an average of $1,320, whereas a borrower in the highest-income category borrows $1,600, or about 21 percent more. For borrowers at the lowest-tuition schools, this differential in the size of the average loan for high income versus low income is $230, or 23 percent. At the most expensive colleges, the differential is 36 percent.

III. Study Findings

A Survey of Commercial Lenders in the Guaranteed Student Loan Program was completed in December 1975 by RMC Research Corporation of Bethesda, Maryland. The study assessed relationships between lenders and borrowers; evaluated data on lender costs; and explored the influence of various factors on the actual and potential participation of lending institutions in GSLP. The study found that commercial lenders were most concerned about low net yields and heavy administrative burdens but that only six percent stated that they were planning to cease making new loans under the program. However, another 12 percent said they would decrease the amount of guaranteed loans made. In addition to low net yield, frequently cited reasons for dissatisfaction were excessive delays in the repayment of claims, too long a repayment period for loans, the administrative burdens associated with high default incidence, and too much unnecessary paper work. A large majority of lenders indicated higher costs for administering GSLP than for other consumer installment loans. However, a very small percentage of lenders stated that no degree of improvement in non-economic conditions would be sufficient to induce them to increase their participation in the program. The study also found that student access to loans is not as broad as had generally been believed. Over 70 percent of the lenders stated that for the student or his parents, having a prior account with the lender was a "very important" consideration in the making of the loan. Almost 53 percent said they always checked the family's credit record and 28 percent checked the school record. While no one of these checks carries the implication of a general system of loan "screening," taken together their use may indicate a basis for restricting loans to some students despite the existence of the guarantee. The study also indicated the difficulties experienced by lenders in trying to convert loans to repayment status following the borrower's completion or termination of his course of studies. Lenders cited the absence of timely information on borrowers' change of status and the lack of valid current addresses. A separate survey revealed that 58 percent of defaulters and 26 percent of non-defaulters had last known addresses which were invalid even after extensive follow-up activities. The study also found that borrowers who attend vocational schools which are direct lenders, and borrowers who obtain their loans without face-to-face contact with lenders, have significantly higher than average default rates.

In June 1976 Systems Group, Inc., of Washington, D. C., completed several separate analyses of the GSLP data base. The first related to the hypothesis that there is a strong inverse correlation between increasing levels of higher education achievement and the default rates of borrowers at these levels. Analysis showed that this hypothesis is partially sustained but that other factors such as total loan burden, income, race, and marital status are much more highly correlated with default than is academic persistence.

The second analysis attempted to assess the extent of lender attrition in the Federally Insured Student Loan Program. Results of this analysis show that the total number of active lenders in FISLP increased to a peak of 5,989 in FY 1972. In FY 1973 the number declined by 4 percent and in FY 1974 by another 10 percent. During this period when total lender participation declined by 14 percent, participation by proprietary schools acting as direct lenders increased from 18.6 percent of all FISLP loans in FY 1972 to 25.3 percent in FY 1974. Analysis also indicated that decline in the total number of participating lenders was greatest among smaller lenders up to $25,000 in annual disbursements but that participation by larger lenders (over $1 million) actually increased between FY 1972 and FY 1976.

The third analysis screened high default rates by borrowers attending institutions which are direct lenders under the program through FY 1975. Such institutions are primarily proprietary schools but numerous private, non-profit institutions are included. With screening criteria set at a minimum 15 percent default rate and at least $100,000 in disbursed loans, over 300 institutions appeared on the list. About two-thirds of these were proprietary institutions and about two-thirds were geographically located in OE Regions VI and IX. The number of "very high" default institutions (over 30 percent) was less than 100 and, of these, only about half, or 50, had significant loan volume. Many of these institutions have been terminated by the program and many others have had their lending limits restricted.

Data from a sample of 25,098 individual loan records, taken from the 1974 GSL Research Data Base, was used to analyze default behavior. The analysis looked at the simultaneous effect on default and bankruptcy versus repayment of variables describing the individual, the institution attended, and the loan burden.

The individual was described by sex, race, age and academic year when the loan was made, marital status and adjusted family income. The institution was described by type, control, and accrediting agency (where appropriate). Loan burden was described by the number of loans the student had made, and the school recommended amount of the last loan. Analyses were performed for borrowers who attended all types of institutions together, and separately for those who attended colleges and universities, junior colleges, and specialized and vocational schools.

In general the ability of these variables taken together to explain non-repayment of loans was fairly high--the models used can explain approximately 65% of the variability in loan repayment status, The following characteristics appear to increase the probability of default or bankruptcy: adjusted family income of less than $6,000, attendance at a junior college or specialized/vocational school, minority status, divorce or separation at the time of application for a loan. Contrary to what might have been expected, having a larger number of loans tended to reduce the probability of non-repayment. Similarly, having a larger loan, as measured by the school-recommended loan amount, tended to reduce probability of default.

Ongoing and Planned Evaluations:

FISLP is utilizing a Research Data Base that provides historical program data from a stratified sample representing the FISLP from inception through June 30, 1976. The RDB can produce basic analysis of the characteristics of borrowers and defaulters, either over the life of the program or for an individual fiscal year. The current RDB does not contain information on the State Guarantee Agency Program. State Guarantee Agency data are currently being evaluated and validated so that they can be added to RDB.

The Research Data Base represents key input data for the Loan Flow Model developed for the Planning and Budgeting process for the GSLP. The Model is capable of projection obligations required for program funding in a given budget cycle and can also develop a Five Year Plan for use in long-range planning and development by the DHEW and the Office of Management and Budget. Data from the Model represents the program budget dollars that are submitted annually to the Congress. The accuracy of the Model and the validation of data utilized for its assumptions is continually evaluated by the BSFA in cooperation with the Office of Planning and Evaluation.

A contract has also been awarded to Cresap, McCormick, and Paget for a Study of Selected Lenders and Borrowers in the Federally Insured Student Loan Program. The focus of this study is the approximately 73 proprietary schools and institutions of higher education which are direct lenders as well as those banks with which they have a primary relationship. The study will assess the policies and procedures of such institutions with respect to the recruitment, admission, and retention of borrowers and will analyze borrower satisfaction with loan administration and program training.

A contract has been awarded to Touche, Ross and Company to evaluate the plans of non-agency States to form State student loan guarantee agencies. The study will also provide such non-agency States with detailed cost data and operational characteristics of existing State guarantee agencies. The study represents one aspect of the Office of Education response to the requirements of Section 421(c) of the Education Amendments of 1976.

Sources of Evaluation Data:

Office of Guaranteed Student Loans, Loan Control Master File, FY 1968-75.

Office of Guaranteed Student Loans, Research Data Base. OPBE-contracted study.

RMC Research Corporation, Bethesda, Maryland, Survey of Lenders, December 1975. OPBE-contracted study.

Systems Group, Inc., Washington, D. C., Analyses of GSLP Data Base OPBE-contracted study.

Higher Education Research Institute, Preliminary Tabulations from Studies on Impact of Student Financial Aid Programs, Phase 2, Study A, OPBE Contract #300-75-0382.

For further information about program operations,

Contact: David Iwamoto, 472-7177

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Upward Bound Program

Legislation:

Higher Education Act of 1965. Title IV-A Subpart 4; Public Law 89-329; as amended by Public Law 90-575; as amended by Public Law 91-230; as amended by Public Law 92-318; as amended by Public Law 94-482.

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1965	1/	1/
1966	1/	1/
1967	1/	1/
1968	1/	1/
1969	1/	1/
1970 2/	$ 56,680,000	$29,600,000
1971	96,000,000	30,000,000
1972	96,000,000	31,000,000 3/
1973	100,000,000	38,331,000
1974	100,000,000	38,331,000
1975	100,000,000	38,331,000
1976	100,000,000	38,331,000
1977	200,000,000	41,500,000
1978	200,000,000	49,800,000
1979	200,000,000	60,900,000

Program Goals and Objectives:

The Upward Bound Program is intended for youths from low-income families who have academic potential, but who may lack adequate secondary school preparation, including those students whose inadequate secondary school preparation is a result of severe rural isolation. Without the intervention of

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1/ There were no specific authorizations or appropriations for Upward Bound during these years. This was an OEO agency allocation made from the total appropriations for Title II-A of the Economic Opportunity Act of 1964.

2/ Represents budget authority. Beginning in FY 1970 authorized funds were combined for the three programs of Special Services, Upward Bound, and Talent Search.

3/ Excludes $4 million supplemental appropriation for veterans' projects.

the program, these students would not have considered college or other postsecondary education, nor would they have been likely to have gained admission to or successfully completed college or other postsecondary education. The program is designed to generate skills and motivation necessary for success in education beyond high school. The goal of the program, as stated in the regulations, is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue postsecondary education programs.

The authorizing legislation for the Upward Bound Program and program regulations use several important terms to describe the target population and goals for the program. Such critical terms or phrases as "academic potential," "inadequate secondary school preparation," and "skills and motivation necessary for success in education beyond high school" are difficult to define. Inadequate definition may cause wide and conflicting interpretation of the target population and the lack of specificity makes it difficult to measure the attainment of program objectives.

The General Accounting Office (1974) study of the Upward Bound also found that the program lacked measurable objectives that clearly stated the expected end results of the program for student performance. GAO observed that local project objectives were usually vague and did not express in a measurable way the kinds and amount of change expected in students' academic skills and motivation.

In those cases where improvements in program operations can be made on the basis of the studies cited below, they have been included in the revision of program operations.

Program Operations:

Upward Bound is designed for the low-income high school student who, without the program, would not have considered college or other postsecondary school enrollment nor would he have been likely to have gained admission to and successfully completed a two- or four-year college or other postsecondary education. In a typical year an Upward Bound student is a resident on a college, university, or secondary school campus for a six- to eight-week summer session. In the academic year he may attend Saturday classes or tutorial/counseling sessions or participate in cultural enrichment activities. During his junior and senior years he explores options for the postsecondary program best suited to his needs.

Upward Bound looks for the individual who has academic potential (a demonstrated aptitude) for a career which demands postsecondary education, but whose inadequate high school preparation prevents him from meeting conventional requirements for admission to a college, university, or technical institute. The program is designed to generate skills by means of remedial instruction, altered curriculum, tutoring, cultural exposure, and encouragement and counseling.

Some program aspects include (1) coordination, where feasible, of Talent Search, Upward Bound, Educational Opportunity Centers, and Special Services for Disadvantaged Students; (2) projects to help students overcome motivational and academic barriers to admission to, and success in, a two- or four-year college or other postsecondary school.

Upward Bound is a project grant program which works primarily through institutions of higher education and, in exceptional cases, secondary schools to provide educational services to disadvantaged youth. The program is administered through the OE central office. Awards are made competitively. The program is forward-funded and no matching grants are required of grantees.

Program Scope:

In Program Year 1976-77, 418 Upward Bound projects were funded (29 new projects and 389 continuing projects). The grants to projects averaged $91,137. Approximately 41,834 students were served by the program. Of the 418 projects, 368 were hosted by four-year colleges or universities, 40 by two-year colleges, and 10 by vocational-technical schools.

The target population of individuals who can benefit from the services of Upward Bound is characterized by persons bearing many of the same traits or characteristics as persons in the target population for Talent Search. Both programs attempt to expand the educational opportunities of persons having low incomes.

Program Effectiveness and Progress:

The latest available program data show that in 1977 nearly eight thousand (7,982) Upward Bound participants completed high school and that about 67 percent of these were planning on entering some form of postsecondary education--mostly college (62 percent). Although the recent General Accounting Office study of Upward Bound reported a 10 percent overestimate of college entrance by the program, this study was based on a 15 project sample selected by GAO. These 15 projects were not selected by scientific sampling techniques and cannot be considered representative of the Upward Bound program.

The recent evaluation of Upward Bound provided the most comprehensive and scientifically accurate statistics about the program, on the nature of the students in the program, and their educational outcomes. These statistics were based on a national sample of more than 3,400 Upward Bound students in the tenth, eleventh, and twelfth grades and a comparison group of about 2,000 similar students who did not participate in the program.

A descriptive profile of Upward Bound students as found by the study appears below:

Variable	Percentages
Sex	
Male	44 %
Female	56 %
Race	
Black	61 %
White	18 %
Other	20 %
Indeterminate	1 %
Age	
15	7 %
16	22 %
17	36 %
18	26 %
19	6 %
Other	.3 %

Variable	Percentages
Poverty Level 1/	64.5 %
Not Poverty Level	22.5 %
Indeterminate	13 %
Academic Risk 2/	45 %
Not Academic Risk	54 %
Indeterminate	1 %
Grade Level	
10	14 %
11	38 %
12	45 %
Indeterminate	3 %

Upward Bound students were compared in several ways to comparison students who had not participated in the program. The most important comparisons were for high school completion and entrance to postsecondary education. The rate of high school completion, given tenth grade entry, for Upward Bound participants is not more than for the comparison group, with a rate of about 80 percent for both groups.

A pronounced difference in entrance to postsecondary education was found as a function of Upward Bound participation. Length of participation in Upward Bound was also positively related to postsecondary enrollment. Overall, Upward Bound high school graduates in the study sample entered some form of postsecondary education at a rate of about 79 percent, whereas the comparison group of high school graduates entered at a rate of about 61 percent. Graduates who entered Upward Bound by the tenth grade entered postsecondary education at a rate of 82 percent, and those who joined Upward Bound in the eleventh grade had a postsecondary enrollment rate of about 75 percent. Both groups, of course, showed large positive differences over the comparison group. Graduates who entered Upward Bound

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1/ Poverty status was assigned to all students with family income under $4,000; $4,000-5,999 if 4 or more children; $6,000-7,999 if 8 or more children; above $8,000 all were non-poor.

2/ Student was classified an academic risk if his ninth grade academic GPA placed him in the bottom half of his class. If academic GPA could not be computed, then a student was classified as an academic risk only if he failed to pass 20 percent or more of the academic courses which he attempted.

by the twelfth grade entered postsecondary education at a rate of 63 percent. One year of program participation provided a negligible increase in postsecondary education entry rate, but two or more years of program participation were associated with a significant increase in the likelihood of entry. Three years' participation in the program compensated, in terms of postsecondary entry, for the disadvantages of being an academic risk and being one year over age in grade. (Over age in grade frequently indicates failure or dropout behavior.) Clearly, Upward Bound has a large positive influence on postsecondary entrance, and the earlier (or longer) the student is exposed to Upward Bound the greater the impact on access to postsecondary education.

These overall postsecondary entry rates must also be considered in light of differences in the types of institutions entered and the types of individuals who enter. A greater percentage of former Upward Bound participants (66 percent) attended four-year institutions or universities than did nonparticipants (51 percent). Former participants also reported greater attendance at institutions hosting an Upward Bound project (47 percent) than did nonparticipants (23 percent). Attendance at Special Services for Disadvantaged Students host institutions was not significantly greater among former participants, and Upward Bound participants attended institutions with relatively attractive financial aid policies at somewhat greater rates than did nonparticipants.

The behavior associated with financial aid was different for Upward Bound and comparison students. The rate of application for financial aid was substantially greater for Upward Bound (88%) students than for comparison (53%) students. Although Upward Bound aid applicants do not receive more offers of aid, they do receive more adequate offers, generally in the form of larger grants. The average Upward Bound aid recipient obtained $1,685 in aid, with $1,134 in the form of a grant. The aid package received by the average comparison student totaled $1,224, with $622 in the form of a grant. These findings suggest that Upward Bound is providing supportive, advocacy, and advisory services that facilitate postsecondary entrance.

Upward Bound participation was associated with large differences in educational expectations. The expectations of former Upward Bound participants are generally higher than for nonparticipants. Indeed, 55 percent of the Upward Bound participants expected to complete a four-year college program or more as compared with 40 percent of the comparison students. In addition, it was found that a single year of Upward Bound program participation was associated with an increase in expectations that was sufficient to compensate for the expected lower scores associated with poverty or over age in grade. The increase in expectations associated with three years of program participation effectively nullified the negative expectations that are associated with being an academic risk and poor.

A descriptive profile of the Upward Bound students in program year 1976-77, generated from program files, appears below:

Variable	Percentages
Sex	
Male	49 %
Female	51 %
Race	
Black	57 %
White	23 %
Other	19 %
Indeterminate	1 %
Age	
14-16	37 %
17-19	47 %
20 or more	15 %
Other	1 %

Variable	Percentages
Grade Point Average at Entry	
A	1 %
B	14 %
C	44 %
D	22 %
F	4 %
Indeterminate	15 %

Upward Bound is charged by its legislation with generating in the program participants the skills and motivation necessary for success in education beyond high school. This goal is the largest remaining question about the effectiveness of Upward Bound--as expressed in the college performance and retention of former program participants. The GAO review of the program data on college graduation and retention of former Upward Bound students concluded that the program was substantially overestimating the college retention of these students. These issues have not yet been adequately addressed in the evaluations of the program. A second follow-up study of the Upward Bound and comparison student samples is in progress. This follow-up should provide the best statistics available to resolve these questions.

Ongoing and Planned Evaluation Studies:

Evaluation of Upward Bound: A Second Follow-Up

A second follow-up evaluation of the Upward Bound program, employing the sample of students studied in the recent evaluations of Upward Bound, by the Research Triangle Institute, began in FY 1978. This evaluation includes a survey of students to determine empirical answers to questions concerning postsecondary persistence and performance. Data collection, analyses, and reporting are scheduled for completion by winter, 1979.

Sources of Evaluation Data:

General Accounting Office, Problems of the Upward Bound Program in Preparing Disadvantaged Students for a Postsecondary Education, March 7, 1974, Washington, D. C.

Upward Bound Program files.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, 1975.

Evaluation Study of the Upward Bound Program, Volume IV of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, 1976.

Evaluation Study of the Upward Bound Program: A First Follow-Up, Research Triangle Institute, Research Triangle Park, North Carolina, 1977.

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about studies of program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Talent Search Program

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318; Public Law 94-482.

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1966	1/	$2,000,000
1967	1/	2,500,000
1968	1/	4,000,000
1969	$ 4,000,000	4,000,000
1970 2/	56,680,000	5,000,000
1971	96,000,000	5,000,000
1972	96,000,000	5,000,000
1973	100,000,000	6,000,000
1974	100,000,000	6,000,000
1975	100,000,000	6,000,000
1976	100,000,000	6,000,000
1977	200,000,000	8,900,000
1978	200,000,000	12,700,000
1979	200,000,000	15,300,000

Program Goals and Objectives:

Talent Search programs are designed to identify qualified youths, including qualified youths residing in areas of severe rural isolation, of financial or cultural need with an exceptional potential for postsecondary educational training and especially such youths who have delayed pursuing postsecondary educational training, and to encourage them to complete secondary school and undertake postsecondary educational training. The program also publicizes student financial aid programs and encourages secondary-school or college dropouts of demonstrated aptitude to reenter educational programs. The goal of this program is to (1) increase the rate at which youths of

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1/ Such sums as may be necessary.

2/ Represents budget authority. Beginning in FY 1970 funds authorized were combined for the Special Programs for Students from Disadvantaged Backgrounds.

financial or cultural need complete secondary school and enroll, with adequate financial aid, in postsecondary educational programs, (2) decrease the rate of secondary and postsecondary school dropouts, (3) increase the number of secondary and postsecondary school dropouts who reenter educational programs, and (4) increase the postsecondary enrollment rate of youths who have delayed pursuing postsecondary educational training.

The authorizing legislation for the Talent Search Program allows youths from other than low-income families, not to exceed one-third of the total served, to benefit from the projects.

The authorizing legislation for the Talent Search Program, and the program regulations, use several terms to describe the target population and goals for the program. Such critical terms or phrases as "cultural need," "exceptional potential," and "demonstrated aptitude" are difficult to define. Inadequate definition may cause wide and conflicting interpretation of the target population, and the lack of specificity makes it difficult to measure the attainment of program objectives.

Program Operations:

Talent Search is a project grant program which works through institutions of higher education, public and private agencies and organizations to provide services to disadvantaged youth in secondary schools or who are dropouts. The program is managed through the OE central office. Awards are made competitively. The program is forward-funded and no matching grants are required of grantees.

The local projects operate a recruiting effort to identify youths who need the program's services and counsel them about opportunities for furthering their education.

A recent study of the program showed that all project directors expressed a fundamental philosophic concern with educational opportunities for the minorities and the educationally disadvantaged. Their stated project objectives were two-fold. First, they focused on improving the client group's educational and vocational status and self-perception, and second, on increasing school- and community-awareness of the client group's needs. Given this common base, all projects provided services intended to encourage clients to aspire to a postsecondary education.

The number and kinds of services provided clients varied considerably across projects classified by size, ethnicity and location of majority of clients, type of host institution, age, and USOE region location. However, all projects generally encouraged the completion of high school and the attainment of a postsecondary education; provided information on educational opportunities and financial assistance; and assisted in the mechanics of applying for admission and financial aid. To a more limited extent, projects provided follow-up activities and assistance to insure that clients actually: enrolled in postsecondary institutions; reached the campus and began their studies; and became adjusted and oriented to the campus.

In receiving these services, about one-sixth of the clients had had only one contact with Talent Search, about one-half had had two to five contacts, and about one-third had had six or more contacts.

Program Scope:

The target population of this program is more than four million persons. This population includes all persons from 14 to 27 years of age, whose highest grade attended in school was between grade 6 and grade 12, and whose family income is below the poverty level. (This definition does not attempt to cope with the problem of including possible clients due to "cultural need.")

During academic year 1976-77, 130 projects were funded with the $6 million appropriation; of these projects 108 are continuing and 22 are new. The grants averaged $46,428. Based upon 105 reporting projects, the cost per client was $70. The 105 projects reported serving 110,982 clients with about 43 percent blacks, 20 percent white, and 37 percent of other ethnicity, such as Native Americans or Mexican-Americans. Approximately 53 percent of these clients were female. About 60 percent had family incomes of less than $6,000 and a small portion, roughly 14 percent, had family incomes of $9,000 or more.

Program Effectiveness and Progress:

In the 1976-77 academic year, 37,615 clients were placed in postsecondary education with an additional 29,810 accepted, but not yet enrolled. Approximately 13,517 actual or potential dropouts were persuaded to return to school or college. About 2,400 were enrolled in high school equivalency programs.

The recent evaluation of the Talent Search Program shows that, given the fuzzy definition of the target population and the lack of measurable objectives, virtually any person requesting assistance was served--most of whom were determined to be eligible by virtue of low income and related criteria (approximately 80 percent). The required "exceptional potential" criterion was applied to approximately a third of the clients. When this criterion was applied, it was often defined as a non-academic measure or personal judgment. Several projects, however, reported the use of traditional academic measures (test scores, grades, class rank, etc.) in determining "exceptional potential." Thirty-five percent of the project directors expressed dissatisfaction with the guidelines for defining the target population. Most of this dissatisfaction was directed at the "restrictive" and "unrealistic" nature of the low-income criterion. (This income criterion could be bypassed in many instances by applying the cultural need criterion.)

Project directors reported in the study much confusion with accounting for project achievements due to the ambiguity over the official OE definition of a program "client." Very few project directors (9 percent) reported using the OE definition of a client. Thirty-four percent of the respondents did not follow the "2 contact" requirement--18 percent required only 1 contact and 16 percent required at least 3 contacts. Compliance with the requirement that a contact be defined as "sustained counsel by the project director or by his representative" also varied across projects. More specifically, 38 percent of the directors reported that their definition of a contact included telephone contacts or group meetings or letter contacts. Several raised the issue: since clients were often served through a single contact, and since a great deal of staff was utilized in letter or telephone contacts, why should these interactions not be counted as legitimate contacts?

The study of the program assessed project files at grantee sites to determine their adequacy and to validate program data. The content and organization of the client record files varied considerably across projects. Files in certain projects were comprehensive and complete and data were collected and filed in an organized manner, whereas the files in other projects contained little information, often collected and filed in a haphazard fashion. Overall, client records and project files were in less than satisfactory condition. Most files generally contained such basic descriptive data as the client's age, sex, ethnicity, and grade level. However, data critical to determining a client's eligibility for the program, his application for and attainment of financial aid or postsecondary admission, his strengths and weaknesses, and his achievement of other Talent Search objectives were often incomplete or missing.

The limited degree to which these kinds of information were recorded in the client files, and survey findings of the postsecondary status of former clients, raises a general question as to the effectiveness of Talent Search counseling services and follow-up activities. Approximately three-fourths of the students reported by the projects to have enrolled in postsecondary institutions between July 1 and December 31, 1973, had actually enrolled. And about three-fourths of these verified enrollees were still enrolled in the spring of 1974. (Most of those who were not enrolled in the spring had dropped out of their own choice.) The percent of initial enrollees varied across institution types (higher percents in private as opposed to public institutions), as did the percent of enrollees who remained in the spring (higher percents in four-year as opposed to two-year institutions). It appears, therefore, that greater effort is required to match clients to the institutions where they may most likely fulfill their aspirations. While counselors encouraged clients to apply to institutions where they felt they could be accepted and could handle the challenge in general terms, there appeared to be a need for more academic counseling and better matching of individuals to educational programs. Related to this, there appears to be a tendency for project personnel to recommend a specified set of institutions to clients; while this has certain obvious advantages, it may also limit the educational prospects for program clients.

Costs for the program were also analyzed by the study contractor. The analysis of the sources and uses of funds provided a descriptive profile of the financial characteristics of Talent Search projects. Data summarized for 96 projects indicated that the average total cost, including in-kind payments and contributions, was $74,000 per project for the 1973 program year. Of the $63,700 in cost allocation by sources and uses of funds, 84 percent was funded by USOE; the primary use of those USOE funds was to meet personnel costs, which accounted for 75 percent of the reported costs.

Individual project total costs ranged from $6,000 to $331,000. Factors analyzed for their contribution to the variation included the number of clients served by the project, the proximity of the clients to the project, and the type of host institution. Of those variables examined, only the association between project costs and the number of clients produced a statistically significant relationship. Including in-kind contributions, Talent Search projects incurred a fixed cost of $42,730 per year and a variable cost of $24.81 per client to implement the program during the 1973 program year. The number of clients in a project explained a majority (55%) of the variation in reported costs per client, which ranged from $23 to $481. The analysis showed that a 10 percent increase in the number of clients in a project was associated with a 6 percent reduction in reported cost per client. The relationship between costs per client and project location and population characteristics was not significant.

The recent study of Talent Search verified that about 75 percent of clients reported by Talent Search projects as having enrolled actually did so. This figure is subject to two qualifications: (1) some clients reported to have enrolled, but who did not do so, may have enrolled elsewhere; (2)) some of those who did enroll were clients from the prior program year. The verified number of clients who enrolled in a postsecondary institution in 1973-74, compared with the $6 million of annual program expenditure, means that the Talent Search Program expends about $242 (excluding non-Federal contributions) per placement in a postsecondary education institution.

In addition to those already described, a number of Talent Search program strengths and weaknesses were identified by the study:

1. The recruitment strategy appears effective in establishing a sizable number of contacts in the target populations of interest. This strategy involves a concerted effort to motivate an interest in further education among disadvantaged youths.

2. Projects engage in a series of standard services, encompassing dissemination of information, assistance in the application process, obtaining financial aid, and personal counseling. This appears to be the essence of Talent Search.

3. Effective relationships were developed with a standard group of institutions to which clients applied and which many then attended. This suggests that the program had found institutions responsive to the needs of the disadvantaged.

4. Staff appeared dedicated to program goals and objectives; their cohesion and interaction appeared to be adequate, although there was little staff training provided and considerable staff turnover.

5. The populations being served may merit further consideration, in view of the criteria employed in selecting clients; i.e., Talent Search does not so much seek out eligible or special individuals as it serves those who respond to it. Also, further attention may be given to the usefulness of criteria for selecting clients in terms of potential for continued education.

6. There appears to be a need to make greater efforts to match clients to the institutions where they may most likely fulfill their aspirations.

7. Adequate funding for the activities undertaken appears to be a need in many projects. This is related to an apparent effort on the part of many of them to serve large areas and large populations, and the resulting circumstance that many clients are seen only very seldom.

8. Communication with USOE could be enhanced by greater attention to the considerable technical and support needs of individual projects. From the standpoint of the national office responsible for Talent Search, there appears to be a need for more extensive monitoring, more technical assistance, provision of feedback to and among individual projects, and development of models which can serve as a means for continuing redefinition and refinement of the program.

9. While positive impact on schools and postsecondary institutions has been perceived as a program accomplishment, a relatively small amount of such impact was reported. Also, some negative impact was reported in that there appeared to be a tendency in some high schools to come to depend upon Talent Search to do the school's job in providing counseling and counseling-related services to disadvantaged students.

10. The qualifications of staff members to provide a number of services may be questioned in view of the findings. Personnel overall appear to be ill-equipped to handle such matters as academic counseling, career guidance, testing, and interpretation of educational and aptitude data.

The study of the Talent Search program was descriptive, including a survey of college registrars to validate the postsecondary enrollment of former Talent Search clients. Since it was a descriptive study, without a nonparticipating group of youths similar to those served by the program but who did not have access to the program's services, an assessment of the program's impact on high school retention and college entrance cannot be done. Consequently, it cannot be asserted, based on the study, that the program does or does not place students in college who would not have enrolled without the program's services.

In those cases where improvements in program operations can be made on the basis of the study, they have been included in revised program regulations.

Ongoing and Planned Evaluation Studies:

A study of the Talent Search program by the Research Triangle Institute, Research Triangle Park, North Carolina, has been completed. The final report is available.

Sources of Evaluation Data:

Descriptive Study of the Talent Search Program, Volume III of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, December 1975.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, May 1975.

Program Data.

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about studies of program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Opportunity Centers

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; as amended by Public Law 92-318; as amended by the Educational Amendments of 1976.

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1974	$100,000,000	$3,000,000
1975	100,000,000	3,000,000
1976	100,000,000	3,000,000
1977	200,000,000	4,000,000
1978	200,000,000	5,300,000
1979	200,000,000	6,500,000

Program Goals and Objectives:

This program is intended to serve areas with major concentrations of low-income populations by providing, in coordination with other applicable programs and services:

information with respect to financial and academic assistance available for persons residing in such areas desiring to pursue a program of postsecondary education;

assistance to such persons in applying for admission to institutions, at which a program of postsecondary education is offered, including preparing necessary applications for use by admission and financial aid officers; and

counseling services and tutorial and other necessary assistance to such persons while attending such institutions.

The centers also are to serve as recruiting and counseling pools to coordinate resources and staff efforts of institutions of higher education and of other institutions offering programs of postsecondary education, in admitting educationally disadvantaged persons.

While the legislated goals of the Talent Search, Upward Bound and Special Services programs are aimed at individuals in need of project services, the Educational Opportunity Centers are designed to serve residents of major areas with a high concentration of low-income populations. Consequently, any resident of a funded area is eligible to receive project services. This broad mandate, without the restrictions of age, income, and disadvantaged cultural or educational backgrounds characteristic of the other Special Programs, offers more latitude to the project to deal with the educational needs of a geographic area without restrictions.

Program Operations:

The Office of Education's central office awards Educational Opportunity Center Program grants on a cost-sharing basis paying up to 75 percent of the cost of establishing and operating a center, to approved postsecondary institutions, or public and private agencies and organizations. Awards, which are forward-funded, are made competitively for a one-year period.

The Centers operate a recruiting effort to identify persons who need the program's services and to counsel them about opportunities for furthering their education. The Centers also provide remedial and tutorial services to students enrolled or accepted for enrollment in postsecondary schools.

Program Scope:

On June 30, 1977, the Educational Opportunity Centers Program completed its third year of operation. Final reports submitted to the OE central office indicated that the thirteen funded projects provided various forms of counseling and assistance to 50,065 participants. The average grant size was $242,000 and the average cost-per-participant was $63.

I. Total participants by ethnicity.

American Indian	948	2%
Black	17,515	35%
Spanish Descent		
Mexican American	4,540	9%
Puerto Rican	1,156	2%
Other	631	1%
White	19,459	39%
Other 1/	1,674	3%
Not Reported	4,142	8%
TOTAL	50,065	100%

II. Total participants by sex

Male	21,371	43%
Female	26,368	53%
Not Reported	2,326	4%
TOTAL	50,065	100%

1/ Includes Asian Americans. N.B. Because of rounding, percents may not add to 100.

III. Age of participants at time of entry into program.

Under 18	9,546	19%
18 - 24	22,311	45%
25 or Over	14,230	28%
Not Reported	3,978	8%
TOTAL	50,065	100%

IV. Number of participants physically disabled.

991 (2% of total)

V. Number of participants who are veterans.

22,855 (6% of total)

Program Effectiveness and Progress:

An evaluation has not yet been conducted. Program data for the second year of the program show that 16,309 participants were placed in postsecondary schools or other types of training programs, and 5,280 participants had been accepted by a postsecondary institution but had not yet begun their studies.

Ongoing and Planned Evaluations:

None.

Sources of Evaluation Data:

Reports by the centers to the program manager.

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about studies of program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Services for Disadvantaged Students in Institutions of Higher Education

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; as amended by Public Law 91-230; as amended by Public Law 92-318; as amended by Public Law 93-380; as amended by Public Law 94-482.

Expiration Date:

September 30, 1979

Funding History:	Year	Authorization 1/	Appropriation
	1970	$ 56,680,000	$10,000,000
	1971	96,000,000	15,000,000
	1972	96,000,000	15,000,000
	1973	100,000,000	23,000,000
	1974	100,000,000	23,000,000
	1975	100,000,000	23,000,000
	1976	100,000,000	23,000,000
	1977	200,000,000	30,637,000
	1978	200,000,000	45,200,000
	1979	200,000,000	55,300,000

Program Goals and Objectives:

The Special Services program is designed to provide remedial and other special services for youths from low-income families with academic potential, but who may be disadvantaged because of severe rural isolation who (1) are enrolled or accepted for enrollment at an institution of higher education which is a beneficiary of a grant or contract and (2) by reason of deprived educational, cultural, or economic background, or physical handicap, or limited English-speaking ability, are in need of such services to assist them to initiate, continue, or resume their postsecondary education. The goal of the program is to increase the retention and graduation rates of such students.

1/ Represents budget authority. Beginning in FY 1970 funds authorized were combined for the three programs of Special Services, Upward Bound, and Talent Search.

The legislated requirements for participation in the program by students with "academic potential" and who need "remedial and other special services" by reason of "deprived educational, cultural, or economic background, or physical handicap" are difficult to define and implement. Academic potential widely varies in definition and no fully satisfactory definition exists. The separation of deprived educational or cultural background from financial need as a qualification for program participation results in a target population that is difficult to define. Similarly, the meaning of need for services is subject to broad and conflicting interpretation.

Program Operations:

Special Services is a project grant program making awards to institutions of higher education to provide remedial or bilingual educational teaching, guidance, and/or counseling services for students with an educationally, culturally, or economically deprived background, or physical handicap or limited English-speaking ability. The program is forward-funded and no matching funds are required by the grantee institutions. The program is administered through the OE central office. Awards are made competitively.

At the institution level, a Special Services program is defined as a separately budgeted formal or structured body of activity by the institution for enrolled students, which is not routinely available to or appropriate for the typical entering student, but is directed toward the more disadvantaged student. There should be a statement of institutional record as to the goals and objectives of the special program with specification of target population, intervention or treatment strategies, and there should be an institutional staff member charged with responsibility for the administration and maintenance of the programs. Recipients of grants or contracts from this program who serve students of limited English-speaking ability must include in their curriculum a program of English language instruction for such students.

Program Scope:

Census data show that there were about 1,200,000 poor and near-poor (up to $5,000 family income) eleventh and twelfth grade high school students. At least 65 percent (800,000) within this income group are expected to graduate from high school, and about 35 percent (280,000) of these high school graduates are expected to enter college eventually. The 280,000 low-income students, plus those physically handicapped students from families above $5,000 income, constitute the core of the target population in need of special services. Evidence from the study of the Special Services program reveals that, in the fall of 1971, 14 percent of all undergraduates came from families with an income that placed them within the Federal Government's poverty classification; this is the prime target population for the Special Services program. Also, while about half of all colleges report enrolling 11 percent or more financially disadvantaged undergraduates, only about one-fourth to one-half of all colleges have a post-matriculation special services type program for low-income students. (Some of the other colleges provide the needed services even though they may not have an explicit program.) The principal source of support for these programs is the Federal Government, with only about 15 percent supported by regular institutional funds, and fewer than 10 percent by private foundations. According to the study, the most frequent program components found in more than six of every ten programs (from all funding sources) are academic counseling and advising, special recruiting strategy, and tutoring. About half provide for diagnosis of learning difficulty or for remedial courses, and almost half report use of special instructional media or strategies. Almost half involve cooperative efforts with community agencies or organizations; about the same proportion contain job placement elements. Guidance for graduate study appears in about one in every five programs. Slightly more than half of the programs are concerned with the administration of student grants, work-study, and/or loans for program participants.

Programs funded as Federal Special Services programs tend to have a wider variety of the several components than do programs funded from other sources. Also, the content of the programs is influenced by institutional goals: i.e., selective institutions more frequently provide tutoring or guidance toward graduate study and provide remedial courses less frequently than do non-selective institutions.

In FY 1975, 366 projects were funded (55 new and 311 continuing). The grant averaged $62,883. The average cost per student was $246. Approximately 50 percent of the clients were black, about 25 percent were white, and about 20 percent were Spanish-surnamed. Approximately 55 percent of the clients were female. A small portion, roughly 11 percent, reported family incomes of $9,000 or more. Approximately 65 percent of the clients reported family incomes of $6,000 or less.

Approximately 5 percent of the clients were culturally or educationally disadvantaged, 6 percent were physically disabled, and 6 percent were of limited English-speaking ability, independent of the low-income criterion.

Program Effectiveness and Progress:

Program records show that in FY 1976 (program year 1976-77), 93,452 students participated in the Special Services program. Of this number, about 77,788 received supportive services for the entire period; about 7,386 students showed adequate academic and personal adjustment and moved out of the program into the regular academic channels of the host institutions; about 5,700 graduated from the host institutions, and about 1,800 left the host institutions to transfer to other colleges, and presumably were making satisfactory progress, or transfer probably would not have been possible.

The evaluation of postsecondary programs for disadvantaged students has shown that the median age of the programs reported (whether Federal or non-Federally supported) was 2.6 years in 1972, and only three percent had existed ten years or more. Therefore, it was too early to evaluate program impact by numbers of students persevering to a bachelor's degree or continuing into graduate study.

Also, the study has revealed that being disadvantaged is much more than a financially determined phenomenon. There are greater differences among students of different ethnic classification within the low-income group than there are between poverty-level and modal (typical) students within the same ethnic classification. Differences between physically handicapped students and modal students are relatively minor--except for the physical disability. Between the poverty-level and modal students, the study did not find substantial differences by major field of study, content of freshman courses taken, or relative difficulty with such courses. Most students in the study were in their first or second year, and differences in these areas may show up later in their college careers.

As expected, the poverty-level students reported a higher degree of participation in the services offered by these programs than did the modal students. This differential participation was particularly large in professional counseling and assistance on financial problems but was also greater for: tutoring by students and professors, professional counseling on career choices, remedial courses and courses on reading skill development, programs to improve writing and number skills, reduced course load, professional counseling for personal and academic problems, and several other areas.

Although substantial positive changes occurred among recipients of these services in attitudes, values, and motivation, there was little indication of impact of the services on the academic achievement of the target population. Disadvantaged students did not reduce the gap in college grade point average between themselves and the regularly admitted (modal) students, differences between high school and college grades for the two groups remaining approximately the same. The college environment, while not tending to magnify previous differences in academic achievement, does not appear to be compensating for such differences. Overall, the academic success of disadvantaged students at institutions with Special Services Programs was no greater, and no less, than at colleges without such programs. This outcome was not affected by any differential emphasis upon specific programmatic elements, such as tutoring or counseling. There was no evidence that the colleges these students were in, or any support services available to them, were helping the students to exceed the level of performance that would be expected of them in college given their level of performance in high school.

With regard to disadvantaged students' own satisfaction with their college experience, these students were relatively most satisfied at four-year predominantly white institutions and relatively least satisfied at two-year community colleges; traditionally black colleges fell in between these two groups.

A comprehensive review of research on the effectiveness of secondary and higher education intervention programs for disadvantaged students found that such programs at the postsecondary level have had some positive impact upon program participants. These programs appear to have been somewhat effective in increasing retention of disadvantaged youth in college. In some instances, academic achievement appears to have been improved, but still remained below institutional averages for regularly admitted students. While these programs appear to assist some persons, it is entirely possible for self-selection to have caused these outcomes, and "creaming" of participants has been observed in a number of these types of programs. As with intervention programs at the secondary school level, the strategy used to keep disadvantaged youths in college varied little among programs. Most programs provided remedial instruction, tutoring, and counseling, but differed in the extent to which they tried to integrate their participants into college activities. Like high school level intervention efforts, higher education intervention has not had a major impact on the organization and operation of colleges.

Ongoing and Planned Evaluation Studies:

Evaluation of the Special Services for Disadvantaged Students Program

The major purpose of this study is to evaluate the impact of participation in Special Services for Disadvantaged Students project activities on student's educational performance and progress. Issues of impact upon the hosting institution and project staff will also be addressed.

This study is planned to begin in fall 1978 and be completed by winter 1980.

Sources of Evaluation Data:

Program files.

U.S. Bureau of the Census, Current Population Reports, Series P-20, No. 222, "School Enrollment: October 1970," derived from Tables 14 and 15, and unpublished data obtained from the Bureau of the Census.

Programmatic Attention to "Disadvantaged" Students by Institutions of Higher Education in the United States: A Census for 1971-72, Educational Testing Service, Princeton, New Jersey, April 1973 (final report from phase one of the evaluation of the program for Special Services for Disadvantaged Students in Higher Education).

The Impact of Special Services Programs in Higher Education for "Disadvantaged" Students, Educational Testing Service, Princeton, New Jersey, June 1975 (final report of phase two of the evaluation of the program for Special Services for Disadvantaged Students in Higher Education).

Vincent Tinto and Roger H. Sherman, The Effectiveness of Secondary and Higher Education Intervention Programs: A Critical Review of the Research, Teachers College, Columbia University, September 1974 (final report submitted to the Office of Planning, Budgeting, and Evaluation of the U.S. Office of Education).

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about studies of program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Veterans' Cost-of-Instruction Program

Legislation:	**Expiration Date:**
Section 420 of the Higher Education Act of 1965; as amended by P.L. 92-318; as amended by P.L. 93-380; P.L. 94-482, and P.L. 95-336.	October 1, 1980

Funding History:

Year	Authorization	Appropriation
1973	Indefinite	$25,000,000
1974	"	23,750,000
1975	"	31,250,000 1/
1976	"	23,721,000
1977	"	23,750,000
1978	"	23,750,000
1979	"	19,000,000

Program Goals and Objectives:

The Veterans' Cost-of-Instruction Program is intended to provide improved and expanded services to veterans attending institutions of higher education. These services include recruitment, counseling, special education programs, and outreach activities. Implicit within the design of the program is the objective of encouraging institutions of higher education to expand and maintain enrollments of veterans.

Program Operations:

Accredited institutions of postsecondary education, other than schools of divinity and proprietary institutions, may receive assistance under this program if the applicant satisfies eligibility criteria related to the enrollment of veterans. An applicant institution which did not participate in the program during the previous year must have a minimum of 25 undergraduate veteran students enrolled and may satisfy either one of two criteria. The first is that at least 10% of the total undergraduate enrollment be veterans and that the current proportion of the undergraduate enrollment which is veterans not be any less than that recorded for the previous academic year. In the event that these criteria are not met, the applicant must have a current undergraduate veteran student enrollment which is at least 10% higher than the number of undergraduate veterans enrolled during the previous academic year. An applicant which participated

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1/ Includes a supplemental appropriation of $7.5 million.

in the program during the previous academic year must have an undergraduate veteran student enrollment which is equal to at least either (1) the number of undergraduate veterans enrolled during the previous academic year or (2) the minimum number of veterans which was necessary for the applicant to establish eligibility during the preceding academic year, whichever is less. In FY 1976, substantial decreases occurred in the number of eligible veterans. While these decreases affected the size of the institutions' payments, they did not affect the institutions' eligibilities for entitlements to receive payments for program year 1976-77. In order to protect the eligibility for entitlement of the institution in program year 1977-78, the Education Amendments of 1976 authorized institutions to count veterans who in the prior year were counted but who, subsequent to the count, lost their entitlement to VA educational benefits.

Applicants which satisfy one of these eligibility criteria receive cost-of-instruction payments pursuant to two major stipulations. The first is that a minimum of 75% of the funds awarded to an institution must be used to establish a full-time Office of Veterans' Affairs, to employ at least one full-time staff member whose sole institutional responsibility is to veterans, and to provide adequate services. These services include (1) programs to prepare educationally disadvantaged veterans for postsecondary education, (2) active outreach, recruiting, and counseling activities through the use of other funds, such as those available under federally assisted work-study programs, and (3) an active tutorial assistance program, including dissemination of information regarding such program. The second stipulation is that any program funds not used for the above activities must be used solely to defray general academic/instructional expenses--such as instructional salaries, instructional equipment, media equipment, and library materials--and, thus, may be non-veteran related. Instructional expenses cannot exceed 25% of an institution's award. Several exceptions to these stipulations are accorded to small institutions (i.e., those enrolling fewer than 2,500 students and enrolling no more than 70 veterans). Small institutions are required to provide only recruitment and counseling services and to establish a full-time Office of Veterans' Affairs, which may be staffed by part-time employees who together assume the responsibility of at least one full-time employee. In addition, small institutions also have the option of entering into a consortium agreement with other, comparable institutions, provided that they are in close proximity and that the required services will be available to the veterans on the concerned campuses.

Program funds are disbursed to institutions in three payments. April 16, October 16, and February 16 of each year are referred to as "count dates." At those times, participating institutions are required to count the number of Categories I and II veterans enrolled at the institution. The latter two counts determine the level at which the institution may expend funds during the second (November-February) and third (March-June) award periods.

Determining the amount of the three payments to which a qualified institution is entitled requires the calculation of payment factors, i.e., that amount the institution is to receive for each eligible veteran. This is done by multiplying the total of all qualified applicant institutions' full-time equivalent Category I veterans by $300 and multiplying the total of all qualified applicant institutions' full-time equivalent Category II veterans by $150. The two figures are then added; the resultant figure is the total entitlement demand or that figure needed for every institution to receive the full payment for each Category I and II veteran. Finally a percentage figure, which is determined by comparing program appropriation with entitlement demand, is applied to $300 and $150 to obtain the payment factor for Category I and II veterans respectively. For FY 1973 through FY 1976, this procedure has been done once a year, based on the April 16 count date, and the payments factors derived at that time were used to determine the amount of the annual award and to adjust the award after the October and February count dates. Using a new award adjustment procedure, new payment factors will be calculated after the February count date for each of the three award periods.

An additional limitation on cost-of-instruction payments permits no institution to receive more than $135,000 in any one year. Since the program has not been fully funded, this legislative amendment was added during fiscal year 1975 to protect small institutions. To the extent that this limitation makes available funds which would otherwise be apportioned as enormous awards to large institutions, the monies are allotted in such a manner as to ensure that eligible institutions will receive uniform minimum awards of up to $9,000. Should funds still remain available after application of this procedure, they are further distributed to ensure receipt of uniform minimum awards above $9,000--subject to the provision that no institutional awards above $9,000 exceed a cost-of-instruction payment as calculated by the veteran computation procedures described above.

Program Scope:

Total demand for program funds, as calculated by the veteran enrollment computation procedures, amounted to $185,401,725--or approximately 8 times the size of the FY 1977 appropriation of $23,750,000. Award levels on a per veteran basis were determined through a pro rata reduction based on a full-time equivalency count of veteran enrollments within each of the two award level categories. Under this reduction procedure, the award level for veterans in the first category (i.e., current recipients of 1691 and 1696 funds) was $38.30 and the current level for veterans in the second category was $19.15--or about 13% of what the award levels would have been if the program were fully funded.

Table 1

Activities Reported by VCIP Projects in AY 75-76

	Size of Award							
Activity	$1 - $5,500	$5,500- $9,000	$9,000- $25,000	$25,000- $50,000	$50,000- $75,000	$75,000- $100,000	$100,000- $135,000	Total
Personnel Counseling	64%	74%	69%	81%	83%	82%	92%	73%
Family Counseling	44%	52%	52%	73%	63%	82%	46%	56%
Career Counseling	55%	80%	68%	82%	88%	88%	77%	72%
Educational Counseling	69%	76%	74%	86%	92%	88%	92%	78%
Financial Counseling	28%	17%	27%	34%	46%	29%	15%	28%
Job Placement	14%	20%	29%	28%	38%	41%	23%	26%
Remedial Mathematics	17%	22%	36%	37%	29%	53%	62%	32%
Remedial English	18%	22%	36%	38%	33%	47%	62%	33%
Remedial Reading	18%	26%	36%	35%	29%	24%	54%	31%
Tutoring Service	74%	78%	76%	74%	75%	76%	90%	78%
Study Center	11%	20%	27%	45%	25%	29%	23%	26%

Table 2

Average FTE Staffing Patterns Reported by VCIP Projects for AY 75-76

Staff Position	Size of Award $1 - $5,500	$5,500- $9,000	$9,000- $25,000	$25,000- $50,000	$50,000- $75,000	$75,000- $100,000	$100,000- $135,000
Full-Time OVA Person	.6	.7	.7	7	.8	.8	.7
Coordinator	.3	.3	.3	.3	.5	.6	.6
Counselor	.2	.1	.3	.6	1.8	1.1	2.0
Outreach Worker	.1	.2	.3	.4	.9	.6	1.2
Recruiter	.1	.1	.2	.1	.2	.4	1.7
Secretary	.2	.2	.5	.9	.9	1.3	2.5
Clerk	.1	.1	.2	.5	1.5	1.7	3.2
TOTAL	1.6	1.6	2.7	3.7	6.8	6.7	11.9

Program Effectiveness and Progress:

No impact evaluations of the Veterans' Cost-of-Instruction Program (VCIP) have been conducted. A descriptive analysis of program data for Academic Year 1975-76 was recently completed. Based upon results of this study, the distribution of services and average staffing patterns are presented in Tables 1 and 2.

Ongoing and Planned Evaluation Studies:

A descriptive study of program operations, nature and scope of clients served, and program data collected, etc., was recently completed. The final report is available.

Sources of Evaluation Data:

Program Files, Division of Student Services and Veterans Programs, Bureau of Higher and Continuing Education.

Evaluation of the Veterans' Cost-of-Instruction Program, Research Triangle Institute, Research Triangle Park, North Carolina, 1978.

For further information about program operations,

Contact: Neil McArthur, 245-2970

For further information about studies of program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Information Centers

Legislation:	**Expiration Date:**
Higher Education Act of 1965 as amended by P.L. 94-482.	September 30, 1980

Funding History:	Year	Authorization	Appropriation
	1977	$20,000,000	$ 0
	1978	30,000,000	2,000,000
	1979	40,000,000	3,000,000

Program Goals and Objectives:

The purpose of the Educational Information Centers program is to provide services to all individuals in a State through Centers located within a reasonable distance of all residents. The services include:

information and talent search services designed to seek out and encourage participation in full-time and part-time postsecondary education or training of persons who could benefit from such education or training if it were not for cultural or financial barriers, physical handicap, deficiencies in secondary education, or lack of information about available programs of financial assistance;

information and referral services to persons within the areas served by the Center, including such services with regard to:

- postsecondary education and training programs in the region and procedures and requirements for applying and gaining acceptance to such programs;
- available Federal, State, and other financial assistance, including information on procedures to be followed in applying for such assistance;

- -- available assistance for job placement or gaining admission to postsecondary education institutions including, but not limited to, such institutions offering professional, occupational, technical, vocational, work-study, cooperative education, or other education programs designed to prepare persons for careers, or for retraining, continuing education, or upgrading of skills;

- -- competency-based learning opportunities, including opportunities for testing of existing competencies for the purpose of certification, awarding of credit, or advance placement in postsecondary education programs;

- -- guidance and counseling services designed to assist persons from the area served by the Center to identify postsecondary education or training opportunities, including part-time opportunities for individuals who are employed, appropriate to their needs and in relationship to each individual's career plans; and

- -- remedial or tutorial services designed to prepare persons for postsecondary education opportunities or training programs, including such services provided to persons enrolled in postsecondary education institutions within the area served by the Center.

Program Operations:

Each fiscal year, each State which has submitted an approved plan receives funds in an amount which bears the same ratio to the appropriation as the population of the State bears to the total population. Each State receiving funds makes grants to and contracts with institutions of higher education, combinations of such institutions, public and private agencies, and local educational agencies for the purpose of planning, establishing, and operating Educational Information Centers. The Federal share of the cost of planning, establishing, and operating Educational Information Centers for any fiscal year is 66 2/3 percent, and the non-Federal share may be in cash or in kind.

Plans and annual amendments to the plans are submitted by the States to the Bureau of Higher and Continuing Education. Each State is responsible for fiscal control and fund accounting procedures as may be necessary for each Center.

Program Scope:

In FY 1978, 44 States received an average allocation of $45,455 for the purpose of developing plans.

Program Effectiveness and Progress:

No information is currently available concerning the effectiveness or progress of the Educational Information Centers program.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program files, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Training Program for Special Programs Staff and Leadership Personnel

Legislation:	Expiration Date:
Higher Education Act of 1965 as amended by Section 124(c) of P.L. 94-482.	September 30, 1980

Funding History:	Year	Authorization 1/	Appropriation
	1978	$200,000,000	$2,000,000
	1979	$200,000,000	2,000,000

Program Goals and Objectives:

The Training Program for Special Programs Staff and Leadership Personnel is designed to provide training for staff and leadership personnel who will specialize in improving the delivery of services to students assisted by the Special Services, Upward Bound, Talent Search, Educational Opportunity Center, Service Learning Center, and Educational Information Centers programs. The authorizing legislation encourages a focus for the Training Program to include the development of individualized programs for disadvantaged students.

Program Operations:

The Training Program awards contracts to support the operation of short-term training institutes and in-service training programs to improve the skills of staff and leadership personnel. Proposals are requested from institutions of higher education and other public agencies and non-profit private organizations.

The program is forward-funded and contracts are awarded to the winners of a competitive bidding in response to a Request for Proposals. The program is administered by the Program Development Branch/Division of Student Services and Veterans Programs/Bureau of Higher and Continuing Education.

Program Scope:

In FY 1978, a contract to conduct the training for Special Programs staff and leadership personnel was awarded to Atlanta University, Atlanta, Georgia in the amount of $2,000,000. The contract with Atlanta University was a result of competitive bids based upon Request for Proposal 78-127. Under the terms of the contract, Atlanta University will:

1/ Represents budget authority. In FY 1978 funds authorized were combined for Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

provide, per project, one week of residential training at each designated training site in a given state for core staff members as, a group, from the selected Special Programs projects (Talent Search, Upward Bound, Special Services for Disadvantaged Students and Educational Opportunity Centers);

provide training to the above, in four categories: leadership, project management, project design, and staff development; and,

provide a minimum of one week on-site follow-up monitoring, at the institution/agencies, of the implementation of the training of each Special Programs project core staff member received while at the residential training site.

It is expected that a total of 500 Special Programs projects will be involved in this training, and from these projects a total of approximately 2,000 staff persons are to be trained.

The designated sites for training workshops are:

1. Atlanta, Georgia
2. Washington, D. C.
3. Portland, Oregon
4. Denver, Colorado
5. Cincinnati, Ohio
6. Minneapolis, Minnesota
7. Hartford, Connecticut
8. Los Angeles, California

Program Effectiveness and Progress:

No information is currently available concerning the effectiveness or progress of the training program.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

None.

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Developing Institutions

Legislation:	Expiration Date:
Higher Education Act of 1965, Title III; Public Law 89-329, as amended	September 30, 1979

Funding History:

Year	Authorization	Appropriation
1966	$ 55,000,000	$ 5,000,000
1967	30,000,000	30,000,000
1968	55,000,000	30,000,000
1969	35,000,000	30,000,000
1970	70,000,000	30,000,000
1971	91,000,000	33,850,000
1972	91,000,000	51,850,000
1973	120,000,000	87,350,000
1974	120,000,000	99,992,000
1975	120,000,000	110,000,000
1976	120,000,000	110,000,000
1977	120,000,000	110,000,000
1978	120,000,000	120,000,000
1979	120,000,000	120,000,000

Program Goals and Objectives:

The program objective is to provide assistance to developing institutions of higher education which demonstrate a desire and a potential to make a substantial contribution to the higher education resources of the Nation but which, for financial and other reasons, are struggling for survival and are isolated from the main currents of academic life. While the original legislative hearings identified approximately 110 predominantly black colleges as a specific set of institutions which, for more than financial reasons, were struggling for survival and were, therefore, appropriate candidates for program support. The program includes colleges serving all disadvantaged youth.

The legislation also provides that 24% of all funds must be set aside for use by two-year institutions. Specific program objectives include efforts to improve the quality of curriculum, faculty, student services, administration, and other general areas of institutional operations. Almost a thousand smaller colleges and universities fall within the "developing institutions" category that benefit under Title III of the Higher Education Act.

The program goal is to provide such supplementary financial assistance as may be necessary to allow developing institutions to move into "the mainstream of American higher education" so that they might, on the basis of offering an education of good quality, reasonably compete for students and external financial resources.

Program Operations:

Developing institutions are defined as institutions of higher education which: (1) provide an educational program which awards an A.A. or a B.A. degree, (2) are accredited by a nationally recognized accrediting agency or association, or making reasonable progress toward such accreditation, (3) have satisfied both of the above requirements during the five academic years preceding the academic year during which program assistance would be provided--with the exception that the five-year stipulation may be waived for institutions which serve to increase the higher education available to Indians. In addition, three of the five years may be waived for institutions serving substantial numbers of Spanish-speaking persons, (4) admit as regular students only persons having a certificate of graduation from a high school providing secondary education or the recognized equivalent of such a certificate, (5) are public or non-profit, and (6) meet such other requirements as may be prescribed by regulations. The law requires that such prescriptions include an indication that the institutions participating in the program are: (a) making a reasonable effort to improve the quality of their teaching and administrative staffs and student services programs and (b) for financial or other reasons are struggling for survival and isolated from the main currents of academic life. In addition, eight quantitative factors (relating to enrollment, faculty qualifications and salaries, institutional expenditures, library volumes, and the family income of students) and three qualitative factors (relating to enrollment, institutional personnel, and institutional vitality) have been used as criteria to assess institutional eligibility for participation in the program.

In Fiscal Year 1973, the program was divided administratively into the Basic Institutional Development Program (BIDP) and the Advanced Institutional Development Program (AIDP). This division was predicated partially on the conceptual finding of an USOE evaluation study which reported that the process of institutional development may be better viewed as a series of progressive stages, each of which is relatively distinct with respect to needs and capabilities.

Both programs provide assistance to eligible applicant institutions in the form of grants which are awarded competitively on the basis of realistic long-range plans for development and relative ratings along a variety of quantitative and qualitative parameters (including those noted above) which are intended to assess an institution's ability to make effective use of an award. Developing institutions which participate in the Basic program receive one-year grants for the purpose of strengthening the quality of their curriculum, faculty, administration, and student services. Advanced developing institutions receive multi-year awards, which may extend up to five years, for the development of comprehensive planning, management, and evaluation capabilities, for undertaking special purpose programs and innovative projects, and for promoting activities directed toward the attainment of financial self-sufficiency. The strategy of the Basic program is to provide assistance for improvement in general areas of institutional operations among applicants whose pace of development is necessarily modest, while the strategy of the Advanced program is to select among relatively highly qualified applicants with the objective of accelerating the process of institutional development.

Section 305 of the legislation (P.L. 92-318) allows the Commissioner to lend additional financial assistance to developing institutions under certain other programs of the Higher Education Act. Under this provision, and at the Commissioner's discretion, the non-Federal institutional share of costs for participating in the Titles II, IV, VI, and VII programs may be waived for institutions certified as developing institutions.

Program Scope:

From FY 1966 to FY 1978 over $848 million has been appropriated for this program. Of this amount more than one-third or almost $326 million has been used for the Advanced Institutional Development Program although it has been operative only the last four funding periods. The following Tables (1 and 2) present in detail the scope of operations for each program over the life of the program.

Of particular interest in each table is the level of funding as contrasted with the request for funds. In recent years the Basic Program has been able to support about only one quarter of total requests while the Advanced Program has had funds for only about a fifth of total requests. Also of interest is the changing nature of program activities in the Basic Program. There appears, for example, to be less need for retraining of faculty (Table 1) as the number of national teaching fellowships approved has fallen to 31 in FY 1978 from a high of 1,514 in 1967. Also there has been a marked increase in the number of assisting non-education agencies and businesses.

In FY 1978 the mean award (Table 3) for the Basic Program was $218,000 per institution. In the Advanced Program the mean amount was $1,172,000 with two-year institutions receiving an average of $859,000 and four-year schools receiving on average $1,325,000, per institution. In FY 1978 $65.9 million or almost 55% of all funds were awarded to institutions with predominantly black student bodies while $5.2 million and $4.1 million were distributed to institutions serving large numbers of Spanish-speaking and Native American students, a little more and a little less than five percent respectively. Thus, well over half of all funds were distributed to institutions serving large numbers of minority students. 1/

1/ This is exclusive of institutions serving large numbers of black students, which do not have predominantly black student bodies.

Table 1

TITLE III, HIGHER EDUCATION ACT OF 1965 STRENGTHENING DEVELOPING INSTITUTIONS BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

COMPARATIVE DATA FOR FISCAL YEARS 1966-1978

	1966	1967	1968	1969	1970	1971	1972	1973	1974	1975	1976	1977	1978
Funds Appropriated & Obligated (in thousands)	$ 5,000	$30,000	$ 30,000	$30,000	$30,000	$ 33,850	$ 51,850	$ 51,850	$ 51,992	$ 52,000	$ 52,000	$ 52,000	1/$ 52,000
Funds Requested by Institutions (in thousands)	$32,250	$56,792	$113,925	$95,187	$85,434	$105,048	$143,000	$220,000	$198,000	$222,000	$196,000	$184,000	$172,000
Number of Proposals Submitted	310	560	500	464	433	441	456	470	511	491	431	410	415
Number of Grantee Developing Inst.	(127)	(411)	(220)	(229)	(227)	(198)	(226)	(235)	(215)	(207)	(203)	(190)	(238)
Other Non-Grantee Participating Inst.	(31)	(55)	(148)	(186)	(215)	(307)	(330)	(232)	(139)	(230)	(232)	(229)	2/
Total Developing Inst. Benefiting from Title III Funds	158	466	368	415	442	505	556	467	354	437	435	419	2/
Assisting Institutions	66	168	131	142	156	151	185	181	163	141	163	168	2/
Assisting Agencies & Businesses	9	53	28	47	51	53	101	134	178	118	166	149	2/
National Teaching Fellowships Approved	263	1,514	727	655	649	541	635	354	524	461	362	38	31
Professors Emeriti Awarded	--	--	--	--	56	64	73	45	59	48	38	6	7
Geographical Representation of Grantees	38 States & D.C.	47 States Guam P.Rico D.C.	45 States Guam P.Rico V. Isl.	45 States Guam P.Rico V. Isl.	44 States Guam P.Rico V. Isl. D.C.	40 States P.Rico V. Isl. D.C.	43 States P.Rico V. Isl. D.C.	43 States P.Rico V. Isl. D.C.	47 States P.Rico V. Isl. D.C.	44 States P.Rico V. Isl. D.C.	44 States P.Rico V. Isl. D.C. Am. Samoa	46 States P.Rico V. Isl. Am. Samoa	46 States P.Rico V. Isl. Am. Samoa Guam

1/ An additional $476,440 was received from OE reprogrammed money to make the new total obligated funds--$52,476,440.
2/ Not available.
Source: Program files, Bureau of Higher and Continuing Education.

Table 2

Advanced Institutional Development Program
Title III, Higher Education Act of 1965
Summary of Fiscal Years 1973-1978

	1973	1974	1975	1976	1977 1/	1978	Total
Funds Appropriated & Obligated	$35,500,000	$48,000,000	$58,000,000	$58,000,000	$58,000,000	$68,000,000	$325,500,000
Funds Requested by Institutions	$336,554,162	$400,387,759	$318,997,848	$314,577,547	$281,373,538	$348,441,441	$2,000,332,295
Number of Proposals Submitted	156	205	174	134	193	135	997
Number of Institutions Funded	28	36	61	34	89	55	303
Number of New Institutions Funded	28	36	19	32	29	21	165
Number of Grants Awarded	28	36	63	34	110	58	320
Geographical Representation of Grantees (States)	22	18	26	23	29	26	36
Number of Different Four-Year Colleges Funded	17	23	44	22	63	37	108

1/ In FY 1977 79 awards with a mean of $92,000 were made to previous grants.

Source: Program files, Bureau of Higher and Continuing Education

Table 3

Funding Summary
Developing Institutions Program
Title III Higher Education Act of 1965
FY 1978

	Fiscal Year 1978		
	Basic	Advanced	Total
	(in thousands of dollars)		
Total Funding - Dollars	$52,000	$68,000	$120,000
Total Funding - Percent	100.0	100.0	100.0
Number of Institutions	238	58[1]	248
Mean Award	$218	$1,172	$484
Funding - Two-Year	$12,405	$16,320	$28,725
Funding - Percent Total	23.9	24.0	23.9
Number of Institutions	82	19[1]	101
Mean Award	$151	$859	$284
Funding - Four-Year	$39,595	$51,680	$91,275
Funding - Percent Total	76.1	76.0	76.1
Number of Institutions	156	39[1]	195
Mean Award	$254	$1,325	$468
Funding - Predominantly Black	$23,190	$42,700	$65,890
Funding - Percent Total	44.6	62.8	54.9
Number of Institutions	47	29	76
Mean Award	$493	$1,472	$867
Funding - Spanish-Speaking	$3,612	$1,540	$5,152
Funding - Percent Total	6.9	2.3	4.3
Number of Institutions	22	2	24
Mean Award	$164	$770	$215
Funding - Native American	$4,070	$0	$4,070
Funding - Percent Total	7.8	0.0	3.4
Number of Institutions	20	0	20
Mean Award	$204	$0	$204

[1] Includes grants for consortium.

Source: Program files.

Program Effectiveness and Progress:

In the years since the administrative division of Title III into the Basic and the Advanced programs, about 75% of all AIDP participants have been BIDP participants. The remaining grantees have received awards without prior participation in BIDP.

An increasing number of Basic institutions are becoming involved in the Advanced Program each year. In 1976, only 41% of the AIDP applicant institutions had previously held Basic grants at any time. In 1978, however, 71% of the applicants had previously held Basic grants. Participation in the Basic program appears to be an increasingly important factor in the ability to submit successful proposals. In 1976, although only 41% of the applicants had previously held Basic grants, 56% of the grants awarded went to these institutions. In 1977, 76% of the Advanced grants went to institutions that previously had Basic grants.

The Advanced Institutional Development Program currently supports over 1,905 activities at 165 institutions by means of 242 grants. The 10 activities present at the largest number of institutions in rank order are:

Activity	Number of Institutions	Number of Activities	Total Amount Awarded During 1973-77 ($1,000)
Planning Phase	165	200	9,286
Planning, Management, and Evaluation	140	182	32,454
AIDP Coordination and Control	130	174	23,569
Vocational and Technical Training	110	318	64,489
Career Counseling/Guidance/Advisement/ Placement/Follow-Up	82	96	17,367
Instructional Methods and Technology	70	90	21,863
Institutional Development	69	86	2,104
Management Information Systems	62	70	13,900
Varied Student Services	58	59	16,595
Developmental Programs	42	57	9,887

These activities constitute approximately 70% of all AIDP-funded activities and accounts for 68% of all expenditures under AIDP programs.

A FY 1976 comparison of broad patterns of activity for various types of institutions indicates that there are substantial similarities in activity patterns that cut across classification by minority, level, or control. These seem to be indicative of basic similarities in the needs of most advanced developing institutions and the problems with which they must cope. However, despite these similarities in terms of aggregate activity frequency patterns, there are some striking differences, e.g.:

-- Black institutions have far greater numbers of activities in the areas of professional and pre-professional training, academic majors, organizational change, institutional development, and transactional information systems. Non-black institutions have more numerous community and continuing education programs, individualized instruction, development programs, and cooperative education.

-- Private institutions are characterized by higher frequencies of activities involving development of general education programs, academic majors, and competency-based instruction, while public-supported institutions use their funds more frequently for recruitment/admissions programs, development of transactional information systems and institutional research capabilities, orientation programs, and faculty training for curriculum development.

-- Four-year institutions have larger numbers of activities in development of general education, professional/pre-professional programs, development of new academic majors and student orientation, while two-year institutions have more extra-curricular activities and community education programs, and develop institutional research capabilities and individualized instruction more frequently.

As part of a continuing process of making its institutional assistance more effective, the Division of Institutional Development is currently revising its criteria for eligibility as a "developing institution."

Findings of the most recent evaluation study indicate that:

1. The quantitative eligibility criteria that have been used by the Developing Institutions Program appear to differentiate between institutions which applied for basic assistance but were not funded, and institutions which applied for basic assistance and were funded. While there are frequently consistent differences between these groups when the mean values for a particular variable are compared, when institutional type (two- and four-year) and type of control (public vs. private) are accounted for, these differences are not statistically significant, given the large standard deviations in each of the variables. Whereas there are no significant differences between BIDP-funded and non-funded institutions, the largest differences that do exist relate to the enrollments of black students, low-income black students and black students receiving aid.

2. AIDP-funded institutions tend to be larger and better funded than AIDP non-funded applicants, BIDP-funded institutions, and BIDP non-funded institutions. AIDP-funded institutions and non-funded applicants differ significantly with respect to three of the ten eligibility criteria. AIDP institutions have a higher percent of low-income students receiving aid, pay their professors a higher average salary, and spend more on educational and general purposes/ FTE student. AIDP institutions are somewhat higher than non-funded institutions on all of the rest of the criteria except average instructor's salaries and number of library volumes. AIDP-funded institutions are higher than BIDP-funded institutions on the basis of all criteria except average instructor's salary.

3. Non-applicant institutions tend to be larger than institutions that applied for and did not receive basic funds and those that applied for and did receive Title III support.

4. BIDP-funded, BIDP non-funded-AIDP-funded, and non-applicant institutions all increased their levels of activity over the period 1970-75 in terms of quantitative criteria. The mean values for institutions in each of these categories showed a generally "improving" trend. But there appear to be no significant differences in the rate of "improvement" between Title III funded institutions and the other categories of institutions. Thus, observed development in terms of the quantitative criteria used does not appear to be associated with Title III funding over the period.

5. AIDP-funded institutions appear to have higher total income for educational and general purposes than BIDP or non-funded applicant institutions (to both BIDP and AIDP). AIDP-funded institutions have larger physical-plant assets than either non-funded or BIDP institutions. Of these the public institutions tend to have greater physical-plant assets than private institutions.

6. Correlation studies indicate that institutions receiving support under Title III are generally successful in obtaining support from other sources. There are significantly positive correlations between the amount of Title III award and tuition and fees, State and local funding, and sponsored research for public institutions. For private institutions Title III funding had significant positive correlations with private gifts and other sources of Federal income. No meaningful relationship was found between the level of Title III award and endowment or other educational and general income. There is no evidence to suggest that Title III funding has been substituted for funding from other sources. Correlation, however, does not imply causality. Therefore, it cannot be determined whether institutions which successfully acquire other funds also successfully acquire Title III funds, or whether receipt of Title III funds enables institutions to acquire other funds.

From a study of college freshmen, black students at both predominantly black and white institutions were asked a number of questions related to college-going. Some of the more important findings were:

1. Blacks at black institutions are more likely to have chosen the particular college they are attending because they wanted to live at home.
2. A higher proportion of black students in white institutions report parental incomes of $15,000 or more than blacks at black institutions.
3. A higher proportion of black students at black institutions aspire to the doctorage degree whereas black students at white institutions are more likely to plan for professional degrees.
4. Blacks at white institutions are more likely to plan for artist/performer than blacks at black institutions, whereas blacks at black institutions indicate health professional with greater frequency.
5. Comparing male black students at black institutions to those at white institutions we find that blacks at black institutions rate themselves higher on academic achievement related traits whereas blacks at white institutions rate themselves high on athletic ability and on popularity with the opposite sex.
6. Low income black students at black institutions indicate better course preparation while in high school than black students at white institutions.
7. A higher proportion of blacks at white institutions endorse the reason "I was offered financial assistance" for choosing the institution than do blacks at black institutions or whites.

Ongoing and Planned Evaluation Studies:

A Case Study of Developing Institutions

Case studies at 30 or more developing institutions will be used to evaluate the effects of different strategies and activities on institutional development.

Sources of Evaluation Data:

A Study of Title III of the Higher Education Act: The Developing Institutions Program, Center for Research and Development in Higher Education, University of California--Berkeley, January 1974.

Assessing the Federal Program for Strengthening Developing Institutions of Higher Education, General Accounting Office, October 31, 1975.

Program files, Division of Institutional Development, Bureau of Postsecondary Education.

The Development of Institutions of Higher Education: Theory and Assessment of Impact of Four Possible Areas of Intervention Plus Technical Appendices, Harvard Graduate School of Education, Cambridge, Massachusetts, January 1977.

Characteristics of Entering Black Freshmen in Predominantly Black and Predominantly White Institutions: A Normative Report, Higher Education Research Institute, Los Angeles, California, November 1977.

For further information about program operations,

Contact: Edward Brantley, 245-2418

For further information about studies of program effectiveness,

Contact: Jack Rodgers, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Land-Grant Colleges and Universities

Legislation:

Second Morrill Act of 1890, as amended; 26 Stat. 417; 7 U.S.C. 322,323; Bankhead-Jones Act, as amended; 49 Stat. 439; Public Law 182; 7 U.S.C. 329 as amended Title IX, Sec. 506 Higher Education Amendments of 1972.

Expiration Date:

Indefinite

Funding History:

Year	Authorization	Appropriation 1/
1964	$14,500,000	$14,500,000
1965	14,500,000	14,500,000
1966	14,500,000	14,500,000
1967	14,500,000	14,500,000
1968	14,500,000	14,500,000
1969	14,720,000	14,550,000
1970	14,922,000	14,720,000
1971	14,720,000	12,680,000
1972	14,720,000	12,600,000
1973	15,160,000	18,700,000 2/
1974	15,160,000	12,200,000
1975	15,160,000	12,200,000
1976	15,160,000	12,200,000
1977	15,160,000	14,200,000
1978	2,700,000 3/	2,700,000 3/
1979	2,700,000 3/	2,700,000 3/

1/ Figures are the sum of permanent appropriations under the Second Morrill Act (i.e., $50,000 for each State and each jurisdiction regarded as a State for the purpose of this Act) and funds annually appropriated under the Bankhead-Jones Act.

2/ This figure includes a one-time appropriation of $6,000,000 for the two newly designated land-grant colleges of the Virgin Islands and Guam. Each jurisdiction received $3,000,000 to be invested in U.S. Government or other safe bonds, with the resulting interest to be used by the land-grant colleges.

3/ Administration of the Bankhead-Jones Act was transferred to the Department of Agriculture by P.L. 95-113. The $2,700,000 administered by Office of Education is the sum of $50,000 to each of 54 jurisdictions authorized by the Second Morrill Act.

Program Goals and Objectives:

The goal of the land-grant programs is to lend Federal support to the several States, and jurisdictions regarded as States for the purpose of this legislation, for collegiate-level instruction in agriculture and the mechanical arts. In addition, program funds may be used to support instruction in the English language and the various branches of mathematical, physical, natural, and economic sciences. The objective of the Morrill Act of 1862 was to provide public lands to any State that would agree to establish an institution in which programs in agriculture and the mechanical arts would be available to the sons and daughters of working class people. The objective of the Morrill Act of 1890 was to provide funds to those States having a dual school system, with the use of such funds authorized for the establishment of a land-grant college for black persons. Later amendments to the land-grant colleges program were designed to maintain and increase the level of Federal support in continuing the availability of these educational programs for persons whose educational opportunities were limited.

Program Operations:

A land-grant college or university is an institution designated by a State legislature for the benefits of the First Morrill Act of 1862 or the Second Morrill Act of 1890. The original Act provided public land (in the amount of 30,000 acres for each Senator and Representative of a State) in order to ensure the development in each State of at least one institution "to teach such branches of learning as are related to agriculture and the mechanical arts." The Second Morrill Act provided for an appropriation of $25,000 for each State having a land-grant institution. The Nelson Amendment of 1907 doubled these appropriations to $50,000. The Bankhead-Jones Act of 1935 provided for additional support. Puerto Rico was added in 1908; the District of Columbia in 1969; and both Guam and the Virgin Islands in 1973.

In Fiscal Year 1978, administration of the Bankhead-Jones Act was transferred to the Department of Agriculture. The Office of Education administers only the Second Morrill Act, with its $50,000 to each of 54 jurisdictions. Monies are paid directly to State treasurers and, in the event that more than one land-grant institution exists in a State, State legislatures must provide by statute for the division of these monies. Funds may not be used to purchase land, nor may they be applied to the purchase, erection, repair, or preservation of buildings. Each land-grant institution is required to provide annually to the U.S. Office of Education a report on the expenditure of monies received under all land-grant appropriations.

Program Scope:

In Fiscal Year 1978, $2,700,000 was apportioned among the 54 jurisdictions. Of the 72 land-grant institutions only Cornell University in Ithaca and the Massachusetts Institute of Technology retain elements of private control. All of the land-grant colleges offer educational programs of more than two years duration. Currently, 17 States and the District of Columbia maintain two land-grant institutions, with the second land-grant institution in 16 of the States being established under the provisions of the Second Morrill Act of 1890. Nineteen of the land-grant institutions are predominantly black.

Program Effectiveness and Progress:

The land-grant colleges and universities program assists 72 land-grant institutions in meeting the continuing costs of instruction and equipment. Since these grants form a very small part of the institutions' recent budgets and the use of land-grant monies is of a discretionary nature, the current impact of these funds is difficult to assess. Nonetheless, abundant historical evidence indicates that the land-grant institutions created by this program have provided the bulk of the technical expertise which has made the U.S. agricultural sector the most technologically advanced and dynamic in the world.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Eugene Welden, 245-9868

For further information about studies of program effectiveness,

Contact: Jack Rodgers, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Annual Interest Grants

Legislation:

Title VII-C, Section 745 of the Higher Education Facilities Act of 1965; as amended by the Higher Education Amendments of 1972 (formerly Title III, Section 306 of the Higher Education Act of 1963; P.L. 88-204)

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1969	$ 5,000,000	$ 3,920,000
1970	11,750,000	11,750,000
1971	25,250,000	21,000,000
1972	38,750,000	29,010,000
1973	52,250,000	14,069,000
1974	65,750,000	31,425,000
1975	79,250,000	0 1/
1976	92,750,000	0 1/
1977	Indefinite	0 1/
1978	Indefinite	4,000,000
1979	Indefinite	29,000,000

Program Goals and Objectives:

Annual Interest Grants is one of four programs (which include also Loans for Construction of Academic Facilities, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities) 2/ which were designed to help institutions of higher education meet a national shortage of facilities. The Annual Interest Grant Program became operational in Fiscal Year 1970 and was designed both to encourage the use of

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1/ No appropriations were requested for continuing grant obligations in FY 1975, FY 1976, or FY 1977, as a result of a change in the obligation accounting procedures for the program. A new procedure was instituted wherein all outstanding obligations were de-obligated so that program obligations will agree contractually with the years in which payments commence under each grant agreement.

2/ Funding for Grants for the Construction of Graduate Facilities ceased in 1969. New funding of Loans for the Construction of Academic Facilities also ceased in 1969 (additional direct loans only being authorized to the extent that funds became available from the cancellation of previous loan commitments).

private capital for construction of academic facilities as well as to reduce the interest burden on borrowers to a level commensurate with direct loans for academic facilities.

Program Operations:

Institutions of higher education, cooperative graduate center boards, and higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) have been eligible to apply for Federal annual interest grant assistance on loans obtained in the private market. Up to 90% of the cost of a project has been eligible for loan subsidies over a fixed period which may not exceed 40 years. Subsidy payments commence after either long-term financing arrangements have been consummated or after the project has been completed--whichever is later. Subsidies represent the difference between the interest amounts payable at the commercial rate on the loan and the amount payable at an interest rate of 3%. Not more than 12.5% of the annual appropriations for this program has been allowed for grants to any one State. Further, the aggregate principal amount of loans (or portions thereof) with respect to which annual interest grant subsidies were approved could not exceed $5 million per campus during any Federal fiscal year.

Prior to receipt by the central office, program applications were first reviewed by State Commissions, and subsequently by the appropriate DHEW regional office, to evaluate the request for assistance with regard to (1) space utilization, (2) enrollment projections, and (3) overall need for the facility for which assistance was requested.

Program priorities focused first upon applications from public community colleges and public technical institutions, from developing institutions, and from institutions in which enrollments from low-income families were at least 20% of the student body. Applications from all other institutions were regarded as a secondary priority. Within these two priority categories, requests were awarded so as to encourage a distribution of funds to those institutions or branch campuses which were (1) in urgent need of additional academic facilities--either to meet increasing enrollments or to prevent a decrease in enrollment due to inadequate facilities--and (2) committed to the enrollment of substantial numbers of veterans.

Program Scope:

No awards for annual interest grants have been made since Fiscal Year 1973. Since the program's inception in Fiscal Year 1970, 711 grants (subsidizing a total loan volume of $1,434,571,000) have been approved. As of the close of Fiscal Year 1978, 593 of these grants (subsidizing a loan volume of approximately $1 billion--or 70% of the total) have come into active pay status. Eighteen projects have been paid in full, 25 have been terminated and 75 are not yet in pay status.

Federal expenditures for subsidies of annual interest grants amounted to $8,000 in FY 1971; $2,105,000 in FY 1972; $6,005,000 in FY 1973; $11,408,000 in FY 1974; $16,657,000 in FY 1975; $26,348,360 in FY 1976; $24,000,000 in FY 1977; and $25,733,844 in FY 1978. It is anticipated that when the total loan volume comes into active pay status, annual Federal expenditures will approximate no more than $29,000,000 and that final payments under this program will extend until roughly 2020.

Of the $1,434,571,000 total subsidized loan volume, $364,595,000 (or 25.4%) of the loans are held by two-year institutions and $1,069,976,000 (or 74.6%) of the loans are held by four-year colleges and universities.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period fiscal year 1965 through fiscal year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of an USOE planning study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25% of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space. Non-academic space showed some excess; nonetheless, some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20% of the public sector institutions and 40% of the private sector colleges and (b) that there was little evidence that the drying up of Federal construction funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for construction of higher education facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253

For further information about studies of program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Grants for Construction of Undergraduate Academic Facilities

Legislation:

Title VII-A of the Higher Education Facilities Act of 1965; (formerly Title I of the HEFA 1963; Public Law 88-204); as amended by Public Law 92-318; as amended by Public Law 94-482.

Expiration Date:

September 30, 1979 1/

Funding History:

Year	Authorization	Appropriation
1965	$230,000,000	$230,000,000
1966	460,000,000	458,000,000
1967	475,000,000	453,000,000
1968	728,000,000	400,000,000
1969	936,000,000	83,000,000
1970	936,000,000	76,000,000
1971	936,000,000	43,000,000
1972	50,000,000	43,000,000
1973	200,000,000	43,000,000 2/
1974	300,000,000	0
1975	300,000,000	0
1976	300,000,000	0
1977	300,000,000	0
1978	300,000,000	0
1979	300,000,000	0

1/ P.L. 94-482, "Education Amendments of 1976", was passed in September 1976. It authorizes Grants for Construction of Undergraduate Academic Facilities until October 1, 1979, and expanded the scope of the program by authorizing grants for reconstruction and renovation projects designed to:

(1) Economize on the use of energy.

(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).

(3) Bring facilities into conformance with health, safety, or environmental protection requirements mandated by Federal, State, or local law.

2/ Funds appropriated in Fiscal Year 1973 were released to the program in May 1974 for obligation during Fiscal Years 1974 and 1975.

Program Goals and Objectives:

Grants for Construction of Undergraduate Academic Facilities is one of four programs (which include also Loans for Construction of Academic Facilities, Annual Interest Grants, and Grants for the Construction of Graduate Facilities) 1/ which were designed to help institutions of higher education meet a national shortage of facilities. The objective of this program is to provide grants to institutions of higher education to finance the construction, rehabilitation, or improvement of undergraduate academic facilities.

Program Operations:

Funds for public community colleges and public technical institutes under this program are allotted to each State by a formula based on the number of high school graduates and per capita income of residents. Funds for other institutions are allotted to each State by a formula based on the number of students enrolled in institutions of higher education and the number of students in grades 9 through 12. Within each State, Federal grants may be awarded for up to 50 percent of the project development cost. Not less than twenty-four percent of funds appropriated under the Title must be reserved for community and technical schools.

Grants are not given for the construction of facilities for which admission is normally charged, for facilities used for sectarian instruction, for facilities for schools of the health professions as defined in the Higher Education Facilities Act, or for residential, dining, and student union facilities.

The law requires that each State establish a Commission for Higher Education Facilities, which would determine priorities, including those regarding the allocation of Federal funds to each project.

Program Scope:

No appropriations have been made for this program since Fiscal Year 1973. Funds appropriated in Fiscal Year 1973 were released to the program in May of 1974 for obligation during Fiscal Years 1974 and 1975. In FY 1974, 13 grants totalling $3,053,735 were made. In FY 1975, 198 grant agreements totalling $39,866,947 were executed--leaving an unobligated balance of $79,318 from the FY 1973 appropriation. No grants were awarded in FY 1977 and it is not anticipated that any awards will be made in FY 1978.

Of the 198 grants awarded during FY 1975, 130 were new grants and 68 were supplemental awards. Public community colleges and public technical institutes were awarded their full allotment of $9,273,991; while all other institutions of higher education were awarded $30,592,956--leaving the unobligated balance of $79,318.

1/ Funding for Grants for the Construction of Graduate Facilities ceased in 1969. New funding of Loans for the Construction of Academic Facilities also ceased in 1969 (additional direct loans were only authorized to the extent that funds became available from the cancellation of previous loan commitments).

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of a USOE planning study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25% of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space. Non-academic space shows some excess. Nonetheless, some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20% of the public sector institutions and 40% of the private sector colleges and (b) that there was little evidence that the drying up of Federal construction funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for construction of higher education facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253

For further information about studies of program effectiveness,

Contact: Jack Rodgers, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Loans for Construction of Academic Facilities

Legislation:

P.L. 89-329, Title VII-C of the Higher Education Facilities Act of 1965; as amended by P.L. 92-318 (formerly Title III of the HEFA; P.L. 88-204); as amended by P.L. 94-482.

Expiration Date:

September 30, 1979 1/

Funding History:

Year	Authorization	Appropriation
1964	$120,000,000	$ 0
1965	120,000,000	169,250,000
1966	120,000,000	110,000,000
1967	200,000,000	200,000,000
1968	400,000,000	0
1969	400,000,000	100,000,000
1970	400,000,000	0
1971	400,000,000	0
1972	50,000,000	0
1973	100,000,000	0
1974	150,000,000	0
1975	200,000,000	0
1976	200,000,000	0
1977	200,000,000	0
1978	200,000,000	0
1979	200,000,000	0

1/ P.L. 94-482, "Education Amendments of 1976," was passed in September 1976. It authorizes "Loans for Construction of Academic Facilities" through October 1, 1979, and expands the scope of the program by authorizing loans for reconstruction and renovation projects designed to:

(1) Economize on the use of energy.

(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).

(3) Bring facilities into conformance with health safety or environmental protection requirements mandated by Federal, State, or local law.

Program Goals and Objectives:

Loans for Construction of Academic Facilities is one of four programs which include also Annual Interest Grants, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities 1/ designed to help institutions of higher education meet a national shortage of facilities. The objective of this program has been to help reduce the financial burden on institutions of higher education by making available to them loans with low rates of interest.

Program Operations:

Loans have been awarded pursuant to the following stipulations: (1) that not less than 20 percent of the development cost of the facility be financed from non-Federal sources (this requirement may be waived for schools qualified as developing institutions under HEA Title III), (2) that applicants have been unable to secure the amount of such loan from other sources upon terms and conditions equally as favorable as the terms and conditions applicable to loans under this program, (3) that construction will be undertaken in an economical manner and that it not be of elaborate or extravagant design or materials, and (4) that, in the case of a project to construct an infirmary or other facility designed to provide primarily for outpatient care of students and institutional personnel, no financial assistance be provided such project under Title IV of the Housing Act of 1950.

Loans have been made available to institutions of higher education, to cooperative graduate center boards, or to higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) for the purpose of constructing only academic facilities. Although the law allows for a repayment period of 50 years, loans have normally been made available for 30 years--with exceptions, under certain circumstances, permitting a maximum loan period of 40 years. Interest rates on these loans cannot exceed 3% per annum. No more than 12.5% of the annual appropriations for this program have been permitted for the extension of loans in any one State.

Program Scope:

This program has not received any appropriations since Fiscal Year 1969, as it was anticipated that the same objectives would be accomplished under the Annual Interest Grants Program and with the use of private capital. Since Fiscal Year 1970, this program has been authorized to make new loans to the extent that funds became available through the termination (primarily through withdrawal) of prior-year loan commitments. During Fiscal Year 1975, the remaining funds released through cancellation of prior loans were approved for new loan commitments.

1/ Funding of Grants for Construction of Graduate Facilities ceased in 1969. Funding for Grants for Construction of Undergraduate Facilities ceased in 1973. No awards for Annual Interest Grants have been made since FY 1973.

Since Fiscal Year 1972, program priorities have focused upon the extension of loan commitments to predominantly black colleges. In Fiscal Year 1975, six loan commitments totaling $2,317,000 and supporting construction estimated at $16,843,783 were approved--all to private, four-year colleges. Four of these approvals were loan increases to predominantly black colleges; the remaining two were new loan approvals to predominantly white institutions.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 50 States and the territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of a USOE study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25% of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space, while non-academic space shows some excess. Some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20% of the public sector institutions and 40% of the private sector colleges and (b) that there was little evidence that the drying up of Federal funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for construction of higher education facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, the existing conditions do not appear to constitute a national problem at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253

For further information about studies of program effectiveness,

Contact: Jack Rodgers, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Cooperative Education Program

Legislation:	Expiration Date:
Authorization: Higher Education Act of 1965 (Title VIII), Public Law 89-329, as amended by P.L. 90-575, October 16, 1968; and P.L. 92-318, June 23, 1972; and P.L. 94-482, October 12, 1976.	September 30, 1982

Funding History:

Year	Authorization	Appropriation
1970	1/	$ 1,540,000
1971	1/	1,600,000
1972	$10,750,000	1,700,000
1973	10,750,000	10,750,000
1974	10,750,000	10,750,000
1975	10,750,000	10,750,000
1976	14,000,000	10,750,000
1977	16,500,000	12,250,000
1978	22,500,000	15,000,000
1979	28,000,000	15,000,000

Program Goals and Objectives:

The primary objective of this program is to assist institutions of higher education to establish, strengthen, or expand Cooperative Education programs on their campuses. Such programs are designed to provide alternating periods of academic study and of public or private employment, the latter affording students not only the opportunity to earn funds necessary for continuing and completing their education, but so far as practicable giving them work experiences related to their academic or occupational objectives.

The legislation for this program in addition authorizes grants or contracts for training, research, and demonstration, the purpose of which is to train Cooperative Education administrators and to seek methods of improving Cooperative Education programs.

1/ One percent of the College Work-Study appropriation was authorized to be used in support of Cooperative Education programs at higher education institutions.

Program Operations:

Under the Cooperative Education program, as amended and provided for under Title VIII of the Higher Education Act, grants are awarded to institutions on a proposal basis, with an institution eligible to apply for annual grants for up to five years. Awards to an individual institution cannot exceed $175,000 in any one year. In the case of a consortium of institutions, the maximum award in one year is $125,000 times the number of institutions in the consortium. Further restrictions on amount of awards are (1) the first year's grant may not exceed 100% of total administrative costs, (2) the second year's grant may not exceed 90% of such cost, (3) the third year's grant may not exceed 80 percent of such cost, (4) the fourth year's grant may not exceed 60 percent of such cost, and (5) the fifth year's grant may not exceed 30 percent of such cost. Funds must not be used as compensation for student employment. Salaries and other administrative expenses for Cooperative Education administrators are payable from grant funds.

The institutions of higher education assume the responsibility for assigning the student to a job relevant to his academic program and providing supervision during the work period. The institution evaluates, with employer input, the student's job performance and in most cases awards academic credit for the work experience. Cooperative Education is an academic program and is recorded on the transcript.

Program Scope:

In 1970, there were only 195 Cooperative Education programs, while in 1977, 1,040 institutions participated in the program which amounts to about one-third of the Nation's institutions of higher education. Three-fourths of the 1,040 Co-op colleges and universities have received Federal grant support. During the eight-year period when such funds could be applied for, fifty percent of the applicants were successful in obtaining grants. The amount granted, however, was approximately two-thirds of the amount requested.

In FY 1978, 586 proposals from 611 institutions were submitted. They requested $31,500,000. With an appropriation of $15 million in FY 1978, 294 administration grants, 16 training grants (total of $970,000), and 6 research grants (total of $320,000) were awarded to a total of 316 institutions. Nearly half of the institutions are two-year publics, slightly over one-fourth are four-year public institutions. Thus 75.7% of the grantees this year are public institutions. The number of private institutions having Co-op programs remains about the same year by year.

Program Effectiveness and Progress:

Applied Management Sciences has completed a nationwide mandated study of Cooperative Education which compared cooperative education students and graduates with students and graduates in the same academic field who had not gone the cooperative education route. Data were collected from over 8,000 respondents affiliated with 80 schools which were visited and 32 additional schools in which key administrators were queried by mail. Included in the sample were two-year and four-year schools, schools with Title IV-D 1/ funding and schools without Title IV-D funding, and even schools without cooperative education. Respondents included students, graduates (both Co-op and non-Co-op), faculty administrators, and employers.

Major findings of the study were:

- Institutions with programs of Cooperative Education and employers who hire cooperative education students expressed strong support and indicated their intention to increase the number of students who would participate.
- Students who were currently enrolled in programs of Cooperative Education and graduates who had participated in Cooperative Education were generally positive about their experience.
- As compared to their non-Co-op counterparts, more Co-op students perceived that their job skills were improving as they advanced through their undergraduate programs. Also, as they approached graduation, Co-op students had a clearer and more specific sense of their career objectives than did non-Co-op students.
- Among graduates, the findings showed that Cooperative Education participants had a more direct relationship between college major and full-time after-graduation employment, and current job and career plans, than did graduates who had not participated in Cooperative Education.
- The large majority of students enrolled in Cooperative Education programs are compensated for their work and, hence, Cooperative Education is for them an income-producing activity. This income may legitimately be viewed as student financial assistance. For approximately one-third of the students, this was found to be of paramount importance in their decision to enroll in Cooperative Education. It was very important to even larger proportions of certain subgroups within the student sample, specifically minority group and economically disadvantaged students. For the majority of students and institutional personnel, however, the financial assistance aspect of Cooperative Education was secondary to its educational potential.

1/ At the time of the evaluation study, the Cooperative Education program was authorized by Title IV-D of the Higher Education Act. The Education Amendments of 1976 reauthorized Cooperative Education under Title VIII of the Higher Education Act.

- Estimated lifetime financial returns to students were greater for those who participated in Cooperative Education even when it required an additional year of schooling. Reasons for this included the larger student net income of the Co-op student, the shorter period of unemployment following graduation, and the higher starting salary for the Co-op graduate.

- Within particular curricula, higher lifetime financial returns were estimated for Co-op participants in four-year and two-year programs and for those majoring in business and engineering compared with their non-participant counterparts. This did not hold true for liberal arts majors.

- The additional costs experienced by employers in hiring Cooperative Education students compared to their regular employees were small. The only appreciably greater costs were the one time start-up costs and costs assigned to the evaluation of Co-op students. Wages and fringe benefits, and supervisory and training costs, were on the average slightly lower for Co-op students than for regular employees. On the other hand, benefits included greater student productivity as judged by employers and the ability of employers to recruit future full-time employees at a reduced cost over more customary means, such as campus recruitment.

- For the institutions in the study sample, the average net institutional cost per student exceeded $500 per year. Per student costs were found to be related in size; larger in small programs and decreasing as program size increased. On the other hand, these costs are often balanced by increased per student revenues resulting from additional tuition and, in the case of some public institutions, head count based State appropriations received while students were participating in off-campus work assignments. On balance, however, approximately 80 percent of the programs experience a net program cost.

- Students and employers receive financial rewards for participation in Cooperative Education, which begin immediately. Institutions, on the other hand, experience both immediate start-up and continuing long term net costs.

- In a period of about six years, HEA Title IV-D grants have been very effective in increasing the number of Cooperative Education programs (from approximately 300 to over 1,000), but apparently have had little influence on the nature and structure of the programs. Many institutions said they would not have initiated the program without this outside funding.

- Overall, Title IV-D grants absorbed approximately 55 percent of the institutional costs of developing and maintaining programs of Cooperative Education.

- The study found little difference between IV-D supported and non-IV-D supported programs of Cooperative Education with regard to most program characteristics, e.g., mandatory versus optional programs, kinds of employers, and job category of students.

- Currently, only one-third of all institutions of postsecondary education participate in Cooperative Education. Only two percent of all postsecondary students are enrolled in Cooperative Education.

- More than three-quarters of the institutions which have Co-op programs plan to expand them, and almost one half of current Cooperative Education employers plan to expand their participation.

- Only four percent of the employers surveyed reported that union membership was required for Co-op students, although 29 percent reported they were unionized.

- Lack of understanding of and information about Cooperative Education were commonly given reasons for non-participation in Cooperative Education by students, institutions, and employers.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program files, Bureau of Higher and Continuing Education.

Applied Management Sciences, "Cooperative Education - A National Assessment."

For further information about program operations,

Contact: John Chase, 245-2146

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Postsecondary Education Commissions

Legislation:

Higher Education Act of 1965, as amended; Title XII, Section 1202 and 1203; Public Law 89-329, as amended

Expiration Date:

September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1965	$3,000,000	$3,000,000
	1966	2,000,000	2,000,000
	1967	7,000,000	7,000,000
	1968	7,000,000	7,000,000
	1969	7,000,000	7,000,000
	1970	7,000,000	6,000,000
	1971	7,000,000	6,000,000
	1972 2/	7,000,000	6,000,000
	1973	1/	3,000,000
	1974	1/	3,000,000
	1975	1/	3,000,000
	1976	1/	3.500,000
	1977	1/	3,500,000
	1978	1/	3,500,000
	1979	1/	3,500,000

Program Goals and Objectives:

The goal of this program is to encourage improved statewide coordination of higher education planning and functions. Specific program objectives include: (1) the establishment of State Postsecondary Education Commissions which are "broadly and equitably representative of the general public and public and private nonprofit and proprietary institutions of postsecondary education in the State including community colleges (as defined in Title X), junior colleges, postsecondary vocational schools, area vocational schools, technical institutes, four-year institutions of higher education and branches thereof" and (2) an expansion in the scope of the studies and planning through comprehensive inventories of, and studies with respect to, all public and private postsecondary educational resources in the State, including planning necessary for such resources to be better coordinated, improved, expanded, or altered so that all

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1/ Such sums as are necessary to carry out this section.

2/ Prior to FY 1973, the legislation provided funding for physical facilities planning only.

persons within the State who desire, and can benefit from, postsecondary education may have an opportunity to do so; and (3) planning, developing, and carrying out interstate cooperative postsecondary education projects designed to increase the accessibility of postsecondary educational opportunities for the residents of the participating States, and to assist such States to carry out postsecondary education programs in a more effective and economical manner.

Program Operations:

The Higher Education Amendments of 1972, Section 1202 (a), P.L. 92-318, amended Title XII of the HEA of 1965 to require the establishment of State Postsecondary Education Commissions if a State desires to participate in the comprehensive planning grants program authorized under Section 1203 of the HEA. Under Section 1202 (c), these State Commissions, popularly called 1202 Commissions in reference to the section of the law authorizing them, may also, at the State's discretion, be designated as the State agency for administering HEA Section 105 (Community Services and Continuing Education, Title I), HEA Section 603 (Undergraduate Equipment Grant Program, Title VI-A), and HEA Section 704 (Grants for Construction of Undergraduate Academic Facilities, Title VII-A). Section 1202 (c) further authorizes the payment of funds to the 1202 Commissions to cover the costs of administering the State plans required under Titles VI-A and VII-A. Section 1202 (d) provides that if a State desires to participate in the Titles VI-A and VII-A programs but does not desire to assign the Titles VI-A and VII-A functions to the 1202 Commission, it must establish a separate State commission which is "broadly representative of the public and of institutions of higher education (including junior colleges and technical institutes) in the State."

Determination of 1202 Commission eligibility for receipt of planning funds has been based upon a review of State-provided information demonstrating how the Commission has met the requirements of Section 1202. Such information must include: (1) a letter, signed by the Governor, explaining how the membership of the State Commission meets the "broadly and equitably representative" requirements of Section 1202 (a) and what provisions have been made to ensure continuing compliance with these requirements of the law; (2) an indication of which of the following three options for establishing a 1202 Commission the State has chosen to follow: (i) creation of a new commission, (ii) designation of an existing State agency or State commission, or (iii) expanding, augmenting, or reconstituting the membership of an existing State agency or State commission; (3) an indication of which, if any, of the Titles I, VI-A, and VII-A programs have been assigned to the commission; and (4) other information regarding various particulars of the commission.

After a 1202 Commission has been established, a State is eligible to participate in the comprehensive planning grant programs authorized under Section 1203 of the Act. Section 1203 (a) authorizes a program of grants for comprehensive planning for postsecondary education on an intrastate basis.

This program is operated as a formula grant program. State Commissions must include the following in their applications: (1) a description of the comprehensive planning activities (and their objectives) for which the grant funds are being requested; (2) a description of the need for the activities (including deficiencies or problems in the current status of comprehensive planning for postsecondary education in the State; (3) a description of the approach (including the methods to coordinate with institutions and agencies concerned with postsecondary education in the State); and (4) a description of the anticipated benefits and results to be obtained from the proposed planning activities (including the use of such results and their relationship to the needs indicated previously).

Section 1203 (c) of the Act authorizes a program of grants to State Commissions and to interstate compact postsecondary educational agencies, applying jointly, for comprehensive planning for postsecondary education on an interstate basis. Final eligibility and funding criteria for this program have been developed. However, no funds have been requested or appropriated for this program.

Program Scope:

Fifty-five 1202 Commissions (representing 48 States and 7 jurisdictions) were eligible for Fiscal Year 1978 funding in support of Section 1203 (a) planning activities during 1978-79. Of the 55 commissions, 23 were newly established commissions, 19 are existing agencies, and 13 are augmented agencies. Thirty-four of the commissions were also assigned the responsibilities for coordinating the Titles I, VI-A, and VII-A programs; 7 commissions were assigned responsibilities for administering the Titles VI-A and VII-A programs only; one (1) commission was assigned the responsibility for administering the Title I program only; and 13 commissions were assigned no responsibilities for Federal programs other than the Section 1203 planning activities and the review of proposals submitted both to the Fund for the Improvement of Postsecondary Education, and to OE for graduate fellowships under Title IX, HEA. In May 1978 the Wyoming Higher Education Council was abolished, leaving a total of 54 1202 Commissions in operation.

Latest data regarding 1202 Commission membership reflect composition by type of institution represented, by sex, and by race. With respect to institutional representation, 63.09% of 745 members represented the general public, 9.26% represented public four-year institutions, 3.22% represented public community and junior colleges; 6.58% represented public vocational and technical institutes, 9.13% represented private non-profit institutions, 3.62% represented proprietary schools, and 5.10% represented other interests. By sex, 80.19% of 757 members were male and 19.81% were female. By race, 9.02% of 732 members were Black Americans, 1.37% were American Indians, 1.23% were Asian Americans, 3.14% were Spanish-surnamed Americans, and 85.24% were members of all other racial classifications.

Of the $3,500,000 appropriation for Fiscal Year 1978, $500,000 was apportioned among State Higher Education Facilities Commissions. The remaining $3 million was distributed among the 54 applicant 1202 Commissions on a two-part formula in which (1) each applicant received $30,000 and (2) the balance of the funds ($1,380,000) were allocated on the basis of the ratio of the population of a postsecondary age (i.e., ages 17 and above as indicated in the latest data available from the U.S. Bureau of the Census) in a given State to the total in all those States which applied. Under this procedure, grants ranged from a low of $30,069 to a high of $173,962--with the average being slightly less than $56,000.

During 1978-79, the Section 1203 (a) grants supported a wide variety of postsecondary educational planning activities in areas including, but not limited to, the following: (1) continuing education, educational brokering, and non-traditional education; (2) studies of manpower needs in various fields, including allied health fields; (3) student assistance needs and resources; (4) role and scope of all postsecondary institutions in the State; (5) structure and governance of postsecondary education; (6) occupational education; (7) proprietary schools; (8) establishing and expanding data bases and management information systems; (9) enrollment projections; and (10) facilities planning and analysis activities.

Program Effectiveness and Progress:

In general, more recent applications were of better quality than those submitted in the first year of the program. The States appear to be assessing their individual planning needs in a more coordinated fashion, with many of the proposed activities building upon others which were already in progress or completed. In addition, the Fund for the Improvement of Postsecondary Education found that the 1202 Commissions are taking more initiative in reviewing Fund proposals and that the problems exhibited during the FY 1974 cycle (those included (1) the need for a constant educative process of State personnel, since the timing of the review of Fund proposals were coincidental with the establishment of the 1202 Commissions, (2) the greater difficulty faced by smaller States in devoting staff resources to the review of proposals, and (3) some suggestions that, in States where a large university system existed, bias was shown in favor of institutions within that system, while those outside of the system received less favorable reviews) appear to have been alleviated. Also, recent information suggests that while progress has been made in the coordination of postsecondary planning with statewide vocational and manpower planning, it has not been as widespread and effective as might be desired.

One unresolved issue relates to the question of how strictly and in what manner the "broadly and equitably representative" language of the law should be interpreted. During FY 1975 this question was raised with regard to the composition of 1202 Commissions in six States. It has not been raised since then. The concerns were referred to the respective Governors for resolution and have since been resolved. Also, what role should the Office of Education play with regard to Commission make-up, with regard to Commission activities, and in what areas of activity, if any? This issue remains unanswered at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, State Planning Commissions Office, Bureau of Higher and Continuing Education.

The Changing Map of Postsecondary Education, State Postsecondary Education Commissions (1202): Their Origin, Development, and Current Status, Education Commission of the States, Denver, April 1975:

For further information about program operations,

Contact: Charles Griffith, 245 2671

For further information about studies of program effectiveness,

Contact: Jack Rodgers, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Service and Continuing Education Program

Legislation:

Title I, Part A of Higher Education Act of 1965. Public Law 89-329, Higher Education Amendments of 1976.

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1966	$25,000,000	$10,000,000
1967	50,000,000	10,000,000
1968	50,000,000	10,000,000
1969	10,000,000	9,500,000
1970	50,000,000	9,500,000
1971	60,000,000	9,500,000
1972	10,000,000	9,500,000
1973	30,000,000	15,000,000
1974	40,000,000	14,250,000
1975	50,000,000	14,250,000
1976	50,000,000	12,125,000
1977	40,000,000	14,125,000
1978	40,000,000	18,000,000
1979	40,000,000	16,000,000

Program Goals and Objectives:

The Community Service and Continuing Education (CSCE) program provides support to the States and to institutions of higher education for the following purposes:

(1) To assist in the solution of community problems by strengthening community service programs of colleges and universities;

(2) To support the expansion of continuing education in colleges and universities; and

(3) To support planning for resource materials sharing.

The Community Service and Continuing Education program has been especially designed to meet the educational needs and interests of adults who have been inadequately served by traditional educational offerings in their communities.

Program Operations:

The program has four distinct parts: a State-grant program, Special Experimental and Demonstration Projects, Special Programs for the Elderly, and technical assistance provisions.

The State-grant program is administered by designated State agencies, each of which develops a State plan, establishes priorities among problem areas, and is responsible for reviewing and approving institutional proposals for support. One third of total program costs must be met from non-Federal funds.

Special Experimental and Demonstration Projects were authorized by the Education Amendments of 1972. Section 106 provides for a set-aside of 10% of appropriations in excess of $9.5 million to carry out projects designed to seek solutions to national and regional problems relating to technological and social change and environmental pollution. Priorities are determined annually by the Commissioner in consultation with the National Advisory Council on Extension and Continuing Education. Grants are made by the Office of Education to institutions on the basis of proposals submitted by them.

The Special programs for the Elderly portion of CSCE was authorized by the Older Americans Comprehensive Services Amendments of 1973. No funds have been made available; therefore, this authority has not been exercised.

The Education Amendments of 1976 amended the CSCE program by adding provisions for technical assistance to States and higher education institutions. The technical assistance is to provide a national diffusion network to help assure that effective programs are known among the States and institutions; assist with the improvement of planning and evaluation procedures; provide information about the changing enrollment patterns in postsecondary institutions; and provide assistance to the States and institutions in their efforts to understand these changing patterns and to accommodate them.

Program Scope:

All 55 eligible jurisdictions are participating in the program.

In FY 1978 State agencies received $15,850,000 with which they made grants to an estimated 770 institutions to fund an estimated 680 specially designed continuing education programs. In addition, in FY 1978 grants were made to fund 24 Special and Continuing Education projects. These grants supported projects designed to seek solutions to national and regional problems related to social and technological change and environmental pollution.

Of the 24 projects, 12 were renewals with awards ranging from $18,201 to $117,002. Twelve of the projects were new and received awards ranging from $46,942 to $88,561.

Program Effectiveness and Progress:

In FY 1977, according to State program statistics, 561 projects were completed. Of these, 418 were in the area of community service, 140 were continuing education projects, and 3 were revenue sharing projects. Participating in these projects were 737 institutions of higher learning, more than a third of which were two-year colleges. A total of 381,000 people were served by these projects. No formal evaluation has been made of these 561 projects.

Some assessment data are available on the Special Projects program. Thirty-eight awards were made in this program in the years 1974-77. Target populations for these projects have included women re-entering work and education, the elderly, prison inmates, local government officials, and the handicapped. Those projects that have been completed have had measurable influence on the expansion and improvement of continuing education. For example, a model pre-retirement program designed by the University of California is now being used, as is an evaluation instrument also developed by the project, by a number of institutions and corporations in the United States and Canada. Project MID-NET at the University of Texas at Arlington adapted existing State programs for local government officials for widespread use at minimum cost in small towns throughout the midwest and southwest. The National Center for Law and the Deaf, jointly sponsored by Gallaudet College and The National Law Center at George Washington University, provided, for the first time, legal services, legal education, and legal advocacy for hearing-impaired people. Among its many accomplishments are the establishment of additional centers in California and Pennsylvania, the offering of nationwide legal education workshops, and the establishment of a separately incorporated Legal Defense Fund.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program files, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Eugene Welden, 245-9868

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Postsecondary Education Eligibility
and Agency Evaluation

Legislation:	Expiration Date:
Accreditation: Education Amendments of 1952 (P.L. 82-550), subsequent legislation.	N/A
Eligibility: Higher Education Act of 1965, as amended including P.L. 94-482.	

Funding History: N/A

Program Goals and Objectives:

The Division of Eligibility and Agency Evaluation (DEAE) and the U.S. Commissioner of Education's Advisory Committee on Accreditation and Institutional Eligibility (ACAIE) function to "orchestrate" a system of determining initial eligibility for postsecondary educational institutions to participate in Federal student and institutional assistance programs.

Program Operations:

Initial eligibility is granted to postsecondary institutions and programs which meet certain statutory and other prerequisites: (a) State licensing or chartering, (b) accreditation by private non-governmental accrediting bodies or State agencies recognized by the U.S. Commissioner of Education; and (c) compliance with Federal non-discrimination guidelines. ACAIE/DEAE formulate and publish accrediting criteria for recognition with which State/private accrediting bodies must comply for recognition. Only those State/private accrediting bodies with approved procedures and jurisdictions may qualify in the sense that their "accreditation" functions as an aspect of institutional eligibility for Federal funds. ACAIE/DEAE conduct periodic reviews of the accrediting bodies' policies related to the U.S. Office of Education's published criteria for renewal of recognition.

Program Scope:

As of December 31, 1977, ACAIE/DEAE have through the "tripartite" institutional eligibility process--private accrediting associations, State approval and licensing agencies, and the Federal government:

(a) recognized 70 private accrediting associations;
(b) recognized 12 State approval agencies;
(c) certified for Federal eligibility 8,725 postsecondary institutions; and
(d) recognized 8 State nursing boards.

Program Effectiveness and Progress:

In June 1972, the Office of Education contracted with the Brookings Institution, and later with the National Academy of Public Administration, to conduct a study on the use of accreditation for eligibility purposes.

Completed in 1974, "Private Accreditation and Public Eligibility Study" by Dr. Harold Orlans, et al., recommended, among other findings, that:

(1) The Office of Education institute a program to improve the training of State education staffs to gain their cooperation in enforcing Federal eligibility conditions and to promote a fuller and more prompt exchange of information about postsecondary schools;

(2) Federally guaranteed student loan borrowers be protected in the event of school closure;

(3) Colleges as well as proprietary schools be required to notify students about their tuition refund policy; and

(4) Information about changes in the eligibility of postsecondary schools for Federal and State programs, Federal Trade Commission cease and desist orders, restrictions imposed by the courts or State officials and accrediting agency actions be more promptly and widely circulated.

Moreover, the report strongly recommended that a study be made to ascertain the number, proportion, and kinds of degree-granting and non-degree-granting schools which engage in specified malpractices, such as deceptive advertising and recruiting and inequitable refunds. Additionally, the "Private Accreditation and Public Eligibility Study" played a significant role in assisting the Office of Education to have Congress include new statutory program eligibility language in the Education Amendments of 1976.

Subsequently, in July 1975, the Office of Education contracted with the American Institutes for Research (AIR) to develop and field test a degree and non-degree-granting institutional informational system which would provide accurate and timely information on their student consumer practices.

The study "Improving the Consumer Protection Function in Postsecondary Education" has been completed. In part, the report concluded that:

(a) The categories, examples, and indicators of potentially abusive institutional conditions and practices produced by this project should be brought to the attention of the chief administrative officer of every institution which gains eligibility to participate in Federal student assistance programs;

(b) The information dissemination called for above should be followed by an assessment of the information's impact on institutional self-study and self-improvement;

(c) An information system should be established for sharing and disseminating State-agency produced Institutional Report Forms (IRF) scores for institutions which operate across State lines;

(d) USOE-recognized accreditation agencies should continue to urge an increased awareness of student consumer protection on their member institutions as an integral part of the accreditation process;

(e) The "continuous review (of) the criteria for determination of, or termination of eligibility for institutional participation in USOE-administered financial aid programs, and. . .appropriate recommendations for change" recently recommended by USOE's Task Force on Implementing Educational Consumer Protection Strategies should include consideration of minimum consumer protection standards based upon preventing the types of abuses listed in the report.

Additionally, the study developed a student guide entitled Safeguarding Your Education: A Student's Guide to College and Occupational Education, which was based upon the 14 different types of consumer abuses; it is now being commercially produced under copyright for national dissemination.

Authorization by State agencies is a prerequisite for institutions seeking to participate in Federal programs, since the States have the major constitutional responsibility for the governance of postsecondary institutions within their boundaries. With the States, therefore, having the major burden of consumer protection in postsecondary education, a study was needed to assess the degree to which postsecondary state oversight agencies provide student consumer protection by preventing or correcting abusive and potentially abusive institutional policies, practices, and conditions. Additionally, the study would include (1) an in-depth profile of strengths and weaknesses of the State laws and enforcement resources and (2) specific suggestions for strategies which could be used by the USOE to help State agencies require stronger laws and augment their enforcement resources.

The American Institutes for Research recently completed (December 1977) "A Study of State Oversight in Postsecondary Education." The study found that State authorizing/oversight requirements are relatively much more extensive for private non-degree-granting institutions, less extensive for private degree-granting institutions, and almost non-existent for public institutions. The report concluded that

- stronger laws and regulations are needed, especially to (1) eliminate provisions that now exclude accredited institutions from State agency oversight, (2) provide stronger bonding or tuition-indemnification requirements, (3) provide and publicize statewide complaint-handling systems, and (4) improve the coordination and communications among the agencies that have various oversight responsibilities within each state; and

- better communications and coordination are needed among licensing agencies in all States, especially in the degree-granting sector, to deal with problems created by institutions that operate across State lines.

Significant barriers now exist to improved consumer practices due to:

- unwillingness of legislatures to make adequate appropriations for school oversight, due to a lack of understanding of the nature of the problem and general reluctance to approve funds for any form of State regulation;

- strong and effective opposition by schools and accreditation bodies to increased levels of State agency oversight;

- lack of agreement and cooperation among State education agencies about which agency should perform what functions; and

- reluctance of law enforcement agencies and attorneys general to take strong action against educational institutions.

The contractor recommended that the Office of Education provide more effective internal audits and controls over the Federal student aid programs. Also USOE should provide:

- a communications and clearinghouse mechanism for the States, to allow State agency officials to better share information on their enforcement actions concerning schools that operate in more than one State, to achieve more consistent standards and, consequently, more reciprocity agreements for licensing, and to learn from each other's successes and failures;

- provide workshops and technical assistance, including legal experts and research studies, that will allow State agency officials to acquire new knowledge, skills, and techniques for oversight;

- provide some Federal operating funds, possibly on a matching basis, for supporting better State agency oversight if the oversight is to play a role in the eligibility of institutions for Federal programs; and

- exercise stronger controls over accreditation agencies that seek to become recognized by USOE, especially to prevent them from accrediting unevaluated branch campus and off-campus programs.

In July 1978, the report on the study of State oversight was the basic working document for an invitational conference to be sponsored by the U.S. Office of Education and the Education Commission of the States. Conference participants will be representatives from State authorizing and oversight agencies, legislators, governors' education aides, attorneys general, chief State school officers, congressional aides, and Federal agency staff.

Ongoing and Planned Evaluation Studies:

A study has been designed and contracted to evaluate the USOE Criteria and Procedures for the Recognition of Accrediting and State Approval Agencies. Work began on October 1, 1977, and is being conducted by the Educational Testing Service. The study will focus on the history of the recognition process and on assessment of the validity and reliability of the USOE criteria used for all agencies applying for recognition by the U.S. Commissioner of Education.

Sources of Evaluation Data:

Program files, Bureau of Higher and Continuing Education/DEAE

Orlans, Harold, et al., Private Accreditation and Public Eligibility, Volumes I and II, The Brookings Institution and the National Academy of Public Administration Foundation, Washington, D. C., 1974.

Jung, Steven M., et al., Improving the Consumer Protection Function in Postsecondary Education, American Institutes for Research, Palo Alto, California, December 1976.

Jung, Steven M., et al., A Study of State Oversight in Postsecondary Education, American Institutes for Research, Palo Alto, California, December 1977.

For further information about program operations,

Contact: Larry Friedrich, 447-9289

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Language Training and Area Studies

Legislation:	Expiration Date:
National Defense Education Act of 1958 Title VI; Public Law 85-864; as amended by Public Law 87-344; as amended by Public Law 88-210; as amended by Public Law 88-665; as amended by Public Law 89-698; as amended by Public Law 90-575; as amended by Public Law 92-318; as amended by Public Law 94-482; as amended by Public Law 95-43.	September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1959	$ 8,000,000	$ 3,416,000
	1960	8,000,000	7,300,000
	1961	8,000,000	6,554,000
	1962	8,000,000	8,000,000
	1963	8,000,000	7,970,000
	1964	8,000,000	8,000,000
	1965	13,000,000	13,000,000
	1966	14,000,000	14,000,000
	1967	16,000,000	15,800,000
	1968	18,000,000	15,700,000
	1969	16,050,000	15,450,000
	1970	30,000,000	13,002,000
	1971	38,500,000	7,170,000
	1972	38,500,000	13,940,000
	1973	50,000,000	12,500,000
	1974	75,000,000	11,333,000
	1975	75,000,000	11,300,000
	1976	75,000,000	13,300,000
	1977	75,000,000	14,650,000
	1978	75,000,000	15,000,000
	1979	75,000,000	17,000,000

Program Goals and Objectives:

Programs for foreign language and area studies funded under this appropriation have four major purposes: (1) increase the nation's manpower pool of trained specialists in foreign language, area studies, and world affairs; (2) provide in-service training to upgrade and update the professional knowledge and skills of existing specialists in foreign language, area studies, and world affairs; (3) produce new knowledge about other nations and cultures, particularly those of the non-western world, through research and development; and (4) develop improved curricula and effective instructional materials in foreign languages, area studies, and world affairs needed by education, government, and business.

The National Defense Education Act, Title VI, authorizes the award of grants and contracts to U.S. educational institutions, organizations, and individuals for activities conducted primarily in the United States. Program assistance includes institutional development, fellowship support, and research in foreign language, area studies, world affairs, and intercultural understanding.

Program Operations:

(a) The Secretary is authorized to make grants to or contracts with institutions of higher education for the purposes of establishing, equipping, and operating graduate and undergraduate centers and programs for the teaching of modern foreign languages, for instruction in other fields needed to provide a full understanding of the areas, regions, or countries in which such language is commonly used, or for research and training in international studies and the international aspects of professional and other fields of study. Any such grant or contract may cover all or part of the cost of the establishment or operation of a center or program, including the costs of faculty, staff, and student travel in foreign areas, regions, or countries, and the costs of travel of foreign scholars to teach or conduct research, and shall be made on such conditions as the Secretary finds necessary to carry out the purposes of this section.

(b) The Secretary is also authorized to pay stipends to individuals undergoing advanced training in any center or under any program receiving Federal financial assistance under this title, including allowances for dependents and for travel for research and study here and abroad, but only upon reasonable assurance that the recipients of such stipends will, on completion of their training, be available for teaching service in an institution of higher education or elementary or secondary school, or such other service of a public nature as may be permitted in the regulations of the Secretary.

(c) No funds may be expended under this title for undergraduate travel except in accordance with rules prescribed by the Secretary setting forth policies and procedures to assure that Federal funds made available for such travel are expended as part of a formal program of supervised study.

(d) The Commissioner is authorized, directly or by contract, to make studies and surveys to determine the need for increased or improved instruction in modern foreign languages and other fields needed to provide a full understanding of the areas, regions or countries in which such languages are commonly used, to conduct research on more effective methods of teaching such languages and in such other fields, and to develop specialized materials for use in such training, or in training teachers of such languages or in such fields.

Program Scope:

Recent studies of foreign language and area studies programs in the U.S. reveal the growth in the development of non-western studies since enactment of the NDEA in 1958. Whereas in 1958 some 37 "uncommonly taught" languages were offered in U.S. universities, in 1977 approximately 100 modern foreign languages were taught at NDEA centers; a 1970 survey of foreign language enrollments reveals that while higher education registrations in most of the foreign languages traditionally taught in American higher education have been in a distinct downward trend since 1968, student enrollments in Italian, Spanish, and in over 100 of the less commonly taught languages taken collectively have increased significantly--by 12.8%, 6.7%, and 39.4% respectively.

While enrollments in the uncommonly taught languages are increasing, total enrollments in these languages remain small. For example, in 1970 there were only 5,319 undergraduate and 796 graduate students studying Chinese. By 1974-75 enrollments had increased to 9,468 undergraduate and 1,108 graduate, and recent indications are that enrollments in Chinese language courses are still increasing.

Since the initiation of the NDEA, the section 602 Language and Area Studies Research program awarded some 706 contracts and 22 grants to educational institutions, professional organizations, and individuals, which resulted (by May 1978) in the completion of some 850 major reports on surveys and studies and instructional materials for language and area studies, as well as some 500 related publications. Items completed prior to November 1976 are listed in a cumulative bibliography produced by the program, List No 8: NDEA Foreign Language, Area, and Other International Studies.

The NDEA foreign language training and area studies program provides a means for correcting existing disciplinary and geographic imbalances, broadening the scope of areas training, and improving and maintaining language skills.

The Fiscal Year 1978 appropriation for NDEA VI funded 80 centers, 25 undergraduate and 13 graduate exemplary programs, 828 graduate fellowships, and 33 research projects.

In Fiscal Year 1978 the average cost of a combined graduate/undergraduate center is expected to be $109,000, while the average undergraduate center cost will be about $55,000. Total population served by the 80 centers is approximately 250,000. The average cost per fellowship will be $5,544 and the average research project costs about $30,000. The cost of the 13 exemplary graduate projects will be $43,500 and the undergraduate projects cost will be $35,000.

Program Effectiveness and Progress:

A review of foreign language and area studies programs in the U.S. (based on a sample of 13,000 foreign language and area studies specialists, of whom about 10,000 are college or university faculty members) has provided data on the impact of the NDEA program. A sampling of previous holders of

NDEA VI fellowships showed that almost all (89.1%) of the fellows used their foreign area training in their first job. Of the Ph.D. graduates, 99% were employed as language and world area specialists. The survey also indicates that the existing pool of specialists needs more focused development in certain aspects in order to achieve an upgrading of language skills. Of the world area specialists surveyed, only 25% reported that they can easily speak, read, and write a language of their area. A major factor in acquiring and maintaining proficiency in foreign languages is the opportunity to utilize the language in a country where it is in regular use.

Studies on international and intercultural education and new curricula and instructional materials are intended for use in schools and colleges throughout the U.S. The impact of this program is suggested by a materials utilization survey which provides specific data on instructional materials for 50 different languages in 82 foreign language and area studies programs. Results of the survey show, for example, that of 24 respondent institutions engaged in teaching Chinese, 21, or 88 percent, were using materials produced under National Defense Education Title VI support; of 17 programs offering instruction in Hindi, 100 percent were using National Defense Education materials; and 6 out of 7 Arabic programs similarly reported utilization of National Defense Education Act-supported materials.

With Section 602 research appropriations, the following surveys of language study in the U.S. are being conducted:

An inventory of Soviet and East European Studies in the U.S., conducted by the American Association for the Advancement of Slavic Studies;

A survey of Foreign Language Enrollments in Secondary Schools, in the fall of 1977 (a bi-annual survey conducted by the American Council on the Teaching of Foreign Languages);

A survey of Foreign Language Enrollments in Colleges and Universities, in the fall of 1977 (a bi-annual survey conducted by the Modern Language Association);

A national survey of foreign-language teaching in elementary and secondary schools (in particular, teacher supply and demand), carried out by the American Council on the Teaching of Foreign Languages;

An assessment of the state of the art: Chinese language study in the U.S., to be conducted by the Center for Applied Linguistics.

The Comptroller General recently reported to the Congress on the study of foreign languages and related areas. The report notes that recipients of Title VI program funds believe the Federal program administration to be fair and effective, and that the Federal program managers have made important improvements in the programs in the past several years.

Priorities for determining language and area studies grants are still being made using data derived from the late 1960's and early 1970's. While the report observes that determination of national needs in foreign language and area studies is difficult to do, it is unknown whether the greatest national needs are being met.

The Comptroller General's report concluded that additional administrative improvements are needed. Recommendations were made to:

Visit at least once every two years each of the 80 centers at institutions of higher education receiving Title VI grants.

Prepare and distribute to center officials and other appropriate parties a biannual report containing helpful "lessons learned" as gleaned from the reports submitted by each center to the Office of Education and visits to centers by staff members of the Office.

Provide feedback reports to the centers at least once a year on their reports to the Office of Education.

Develop a system to evaluate the effectiveness of the program providing starter grants to new international studies projects.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Language and Area Studies Review, Richard D. Lambert (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

International Studies and the Social Sciences: A Survey of the Status of International/Comparative Studies and Recommendations Concerning National Needs and Priorities, James N. Rosenau (Minneapolis, Minnesota: International Studies Association, June 1971).

1970 Census of International Programs in State Colleges and Universities, American Association of State Colleges and Universities (Washington, D. C.: AASCU Studies 1971/3, August 1971).

Materials Development Needs in the Uncommonly-Taught Languages. Priorities for the Seventies. (A report of a conference held in Columbia, Md., in October 1974, published by the Center for Applied Linguistics, 1975).

A Survey of Materials for the Study of the Uncommonly-Taught Languages (in eight fascicles, one for each of the major geographical world areas), published by the Center for Applied Linguistics, 1976.

Western European Studies in the United States. (Stephen Blank, Council for European Studies, University of Pittsburgh, 1975).

International and Intercultural Education in Selected State Colleges and Universities: An Overview and Five Cases. (Audrey W. Gray, American Association of State Colleges and Universities, 1977).

CULCON Report on Japanese Studies at Colleges and Universities in the United States in the Mid-70's. (E. T. Massey and J. A. Massey, American Panel Secretariat: Japan Society, Inc., 1977).

Comptroller General of the U.S., Study of Foreign Languages and Related Areas: Federal Support, Administration, Need. September 13, 1978, Washington, D. C.

Program Data.

For further information about program operations,

Contact: Ed Meador, 245-9691

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Fulbright-Hays Act

Legislation:

Mutual Educational and Cultural Exchange Act of 1961. Section 102(b)(6); Public Law 87-256; as amended by Public Law 87-565; as amended by Public Law 89-698.

Expiration Date:

None

Funding History:	Year	Authorization	Appropriation
	1964	1/	$1,500,000
	1965		1,500,000
	1966		2,000,000
	1967		3,000,000
	1968		3,000,000
	1969		3,000,000
	1970		2,430,000
	1971		830,000
	1972		1,323,000
	1973		1,360,000
	1974		1,360,000
	1975		2,700,000
	1976		2,700,000
	1977		3,000,000
	1978		3,000,000
	1979		3,000,000

Program Goals and Objectives:

The legislated purpose of this program is to promote modern foreign language training and area studies in United States schools, colleges, and universities by supporting visits, and study in foreign countries by teachers and prospective teachers in such schools, colleges, and universities to improve their skill in languages and their knowledge of the culture of the people of these countries. The program also finances visits by teachers from those countries to the United States to participate in foreign language training and area studies in United States schools, colleges, and universities.

1/ Indefinite, does not require specific money authorization.

Program Operations:

Programs funded under Section 102(b)(6) of the Fulbright-Hays Act provide opportunities to individuals for first-hand experiences in the locales of their respective specialization areas. Specifically, fellowships are provided for updating and extending research knowledge, and maintaining and improving language skills. The program also provides fellowships for faculty and doctoral dissertation research, supports group projects for research and training, as well as curriculum consultant services of foreign educators to improve foreign languages, area studies and intercultural education in U.S. schools and colleges.

Programs for foreign language and area studies funded under this appropriation have four major purposes: (1) increase the Nation's manpower pool of trained specialists in foreign language and area studies, (2) provide inservice training to upgrade and update the professional knowledge and skills of existing specialists in foreign language, and area studies, (3) produce new knowledge about other nations and cultures, particularly those of the non-western world; and (4) develop curricula and instructional materials in foreign language and area studies needed by education, government, and business.

Program Scope:

The Fiscal Year 1978 appropriation of $3 million for this program supported 111 doctoral dissertation research fellowships, 16 group projects, 15 foreign curriculum consultant grants and 46 faculty research fellowships.

Program Effectiveness and Progress:

A recent review of foreign language and area studies programs in the U.S. demonstrated that adequate opportunities for research and study abroad are critical to improving the quality of specialists training. Over 85% of those included in the survey reported a need to increase opportunities for studying language in its natural setting. While in absolute terms there has been substantial growth in the numbers of specialists with some overseas experience, the survey reveals that on the average the depth of experience abroad is inadequate. Furthermore, although as a group the specialists have had experience in a wide range of countries, the research of a majority of the specialists has been clustered in a small number of countries. In brief, a few countries are overstudied, relatively speaking, while a large number are understudied. 2/

1/ Program Data. Information collected in other reports listed under Title VI of the National Defense Education Act is also relevant for the Fulbright-Hays Program.

2/ Language and Area Studies Review, Richard D. Lambert, (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

The Fulbright-Hays programs therefore provide a resource for training specialists in areas of greatest need and for helping improve the caliber of training in language and area studies through research and study abroad.

World-wide inflation and devaluation of the dollar have received considerable popular attention in the last ten years. For most Office of Education programs such international price movements have only an indirect impact. However, the Fulbright-Hays program is directly and significantly affected by changes in exchange rates and international prices.

A recent study analyzed changes in exchange rates, international prices and purchasing power of U.S. dollars. The data show that exchange rates, or the cost of foreign currencies, actually decreased by 2.7% during 1971-77. However, price levels abroad increased by 98.6% during the same period. The combined effect of these two factors was an 82.7% increase in the cost of operations abroad. This is equivalent to a 10.5% rate of inflation in foreign prices compared with the 6.7% domestic inflation.

An examination of appropriations for the Fulbright-Hays program indicates that fiscal year 1977 appropriations would purchase only 82.5% as much as fiscal year 1974 appropriations. The data indicate that a fiscal year 1979 appropriation of at least $4,000,000 would be necessary in order to fund operations at the fiscal year 1974 level. 3/

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program Data. Information collected in other reports listed under Title VI of the National Defense Education Act is also relevant for the Fulbright-Hays Program.

Language and Area Studies Review, Richard D. Lambert, (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

Changes in Purchasing Power of International Education Appropriations, Technical Paper, Office of Planning, Budgeting, and Evaluation, U.S. Office of Education, September 1978.

3/ Changes in Purchasing Power of International Education Appropriations, Technical Paper, Office of Planning, Budgeting, and Evaluation, U.S. Office of Education, September 1978.

For further information about program operations,

Contact: Ed Meador, 245-9691

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Ethnic Heritage Studies Program

Legislation:

Elementary and Secondary Education Act
of 1965, Title IX, as amended under
P.L. 92-318, P.L. 93-380

Expiration Date:

September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1974	$15,000,000	$2,375,000
	1975	15,000,000	1,800,000
	1976	15,000,000	1,800,000
	1977	15,000,000	2,300,000
	1978	15,000,000	2,300,000
	1979	15,000,000	2,000,000

Program Goals and Objectives:

This program provides opportunities for students to learn about their own cultural heritage and to study the cultural heritages of the other ethnic groups in the Nation.

Each program assisted under this title shall--

(1) develop curriculum materials for use in elementary or secondary schools or institutions of higher education relating to the history, geography, society, economy, literature, art, music, drama, language, and general culture of the group or groups with which the program is concerned, and the contributions of that ethnic group or groups to the American heritage; or

(2) disseminate curriculum materials to permit their use in elementary or secondary schools or institutions of higher education throughout the Nation; or

(3) provide training for persons using, or preparing to use, curriculum materials developed under this title; and

(4) cooperate with persons and organizations with a special interest in the ethnic group or groups with which the program is concerned to assist them in promoting, encouraging, developing, or producing programs or other activities which relate to the history, culture, or traditions of that ethnic group or groups.

Program Operations:

The program authorizes grants to public and private nonprofit educational agencies, institutions, and organizations to assist them in planning, developing, and operating ethnic heritage studies programs.

Programs for ethnic heritage studies which are proposed must be planned and carried out in consultation with an advisory committee that is representative of the ethnic group or groups with which the program is concerned. Project activities include curriculum material development, teacher training, dissemination of materials, and cooperation with ethnic groups in the community served by each project. Emphasis will be placed on multi-ethnic endeavors that draw upon the cultural pluralism of the community.

In carrying out this title, the Commissioner makes arrangements which utilize (1) the research facilities and personnel of institutions of higher education, (2) the special knowledge of ethnic groups in local communities and of foreign students pursuing their education in this country, (3) the expertise of teachers in elementary and secondary schools and institutions of higher education, and (4) the talents and experience of any other groups, such as foundations, civic groups, and fraternal organizations, which would further the goals of the programs.

Funds appropriated to carry out this title may be used to cover all or part of the cost of establishing and carrying out the programs, including the cost of research materials and resources, academic consultants, and the cost of training of staff for the purpose of carrying out the purposes of this title. Such funds may also be used to provide stipends (in such amounts as may be determined in accordance with regulations of the Commissioner) to individuals receiving training as part of such programs, including allowances for dependents.

In FY 1974, 42 projects were funded with an average award of $56,000. During FY 1975, 49 grants averaging $39,000 were made in support of programs in 32 States and the District of Columbia. During FY 1976, 49 grants averaging $37,000 were funded in 32 States, the District of Columbia, and the Trust Territory of the Pacific Islands. In FY 1977, 64 grants averaging $36,000 were funded in 36 States, the District of Columbia, Virgin Islands, and Puerto Rico. In FY 1978, it is anticipated (pending final negotiations) that 58 grants averaging $39,700 will be awarded in 30 States, the District of Columbia, and American Samoa.

1978 Workload Data (pending final grant negotiations)

Total Program allocation	$2,300,000
Number of awards	58
Average award	$ 39,700

Ethnic groups served--

by project with single ethnic focus	16
by project with multi-ethnic focus	36

Maxi grant dollar total	$2,200,000	Mini grant dollar total	$100,000
Number of awards	52	Number of awards	6
Average award	$ 42,300	Average award	$ 15,000
For training:		For training:	
Dollar total	$ 556,100	Dollar total	$ 15,000
Number of awards	13	Number of awards	1
Average award	$ 42,800		
For curriculum development:		For curriculum development:	
Dollar total	$ 743,200	Dollar total	$ 42,400
Number of awards	17	Number of awards	3
Average award	$ 43,700	Average award	$ 14,100
For dissemination:		For dissemination: None	
Dollar total	$ 144,000		
Number of awards	2		
Average award	$ 72,000		
For training and curriculum development:		For training and curriculum development:	
Dollar total	$ 357,000	Dollar total	$ 15,000
Number of awards	8	Number of awards	1
Average award	$ 44,600		
For training & dissemination:		For training & dissemination:	
Dollar total	$ 94,000	Dollar total	$ 15,000
Number of awards	2	Number of awards	1
Average award	$ 47,000		
For training, curriculum development & dissemination:		For training, curriculum development & dissemination:	None
Dollar total	$ 342,800		
Number of awards	8		
Average award	$ 42,800		
For curriculum development and dissemination:		For curriculum development and dissemination: None	
Dollar total	$ 100,000		
Number of awards	2		
Average award	$ 50,000		

Program Effectiveness and Progress:

Each project contains a self-assessment in terms of constant review and professional criticism, as well as feedback from teachers and students and members of the community's ethnic groups.

With more States requiring the teaching of ethnic studies in the schools, there are indications of wider acceptances of ethnic programs, particularly in the concentrated multi-ethnic areas of the country. California, Illinois, and Michigan are requiring multicultural or ethnic heritage studies statewide.

The present program now has training as its first priority and the major portion of financial support is in this area. With the advent of training as a major consideration, the materials already developed under the Title IX Ethnic Heritage Studies program will receive wider dissemination and utilization.

Teachers in a great number of localities throughout the country are using materials which were produced from over 150 projects. Such programs as the following: (1) "Ethnic Education for Future and Present Public Administrators" at the State University at Binghamton; (2) "Appreciation of Ethnic Pluralism in Education for Social Work" at Catholic University; (3) "Program Development for Public Service Ethnic Affiliate Associations" at the John Jay College of Criminal Justice, have added a new dimension in the study of ethnicity. Also, pre-school and childhood education have received more attention.

Experimental ethnic theater is used in the study of ethnicity for younger students with such programs as "Ethnic Theater: Springboard for a Multi-ethnic Curriculum," "Teacher Training Module for Implementing Multi-ethnic Social Studies in Elementary Schools," and "Curriculum Improvement and Teacher Training for Community Ethnic Language and Culture Schools."

Other users of Title IX EHS curriculum materials include regional resource centers, State bicentennial commissions, State historical societies, education associations, libraries and museums, and theater groups.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program information and project reports.

Assessment of the First Year of the Ethnic Heritage Studies Program, a report prepared under a Title IX Elementary and Secondary Education Act Grant awarded by the Ethnic Heritage Studies Branch of the U.S. Office of Education to the National Education Association, 1976.

For further information about program operations,

Contact: Ed Meador, 245-9691

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION REPORTS

Program Name:

Graduate and Professional Opportunities Program

Legislation:	Expiration Date:
P.L. 89-329 Higher Education Act of 1965 (as amended by P.L. 92-318), Title IX, Parts A and B.	October 1, 1979

Funding History:	Year	Authorization 1/	Appropriation
	1978	$50,000,000	$3,250,000
	1979	50,000,000	8,000,000

Program Goals and Objectives:

The overall goal of this program is to provide needed opportunities for qualified students particularly minorities and women who are underrepresented in the professions and many graduate fields to receive the education necessary for entering the highest levels of professions, industries, government and colleges. There are two parts to the program. The objective of Part A which authorizes grants to institutions of higher education is to strengthen and improve graduate and professional programs leading to advanced degrees (other than medical degrees). Under Part A, grants may also be made to strengthen undergraduate programs when the Commissioner determines that strengthened undergraduate programs will contribute to the purposes of Title IX-A. The goal of Part C which authorizes the award of fellowships for graduate and professional students is to assist qualified students in obtaining the advanced training needed for careers in professional fields and fields where the doctorate degree is a requirement.

Program Operations:

Graduate and Professional Opportunities Program awards are made on a competitive basis. Applications are sent to all institutions which have graduate and professional programs inviting them to apply for institutional and/or fellowship grants. Institutions receiving fellowship grants recommend to the Commissioner qualified students who plan to obtain a doctorate or professional degree. College graduates apply for fellowships by applying to institutions which have been awarded fellowship grants. Each fellow's stipend is $3,900 per 12 month period. In addition an educational allowance of $3,900 per year is provided for each fellow enrolled in the program. Fellows must be full-time students and ordinarily cannot have their fellowships renewed beyond a 36-month time period.

1/ In addition to these authorizations for Part A, the Commissioner is authorized to appropriate such sums as may be necessary for up to 7,500 fellowships.

No set amounts are authorized for institutional grants. Grants may be used for faculty improvement; development, expansion, and strengthening of graduate and professional programs of study; acquisition of instructional equipment and materials; cooperative arrangements among graduate and professional schools; and needed innovation in graduate and professional programs.

There are a number of limitations on the use of grant funds. They may not be used for construction or renovation of buildings or the cost of leasing space. They may not be used for sectarian instruction or religious worship. They may not be used to finance more than two-thirds the cost of the project or activity described in the institution's application. They may not be used to finance more than one-half the cost of the purchase or rental of books, audiovisual aids, and scientific apparatus. Finally they may not be used for fellowship assistance to students.

Program Scope:

The first grants were awarded in Fiscal Year 1978. Fifty-five colleges and universities received approximately $3.2 million. Part of that sum, $2.7 million, provided fellowship assistance for 352 students from groups traditionally underrepresented in graduate and professional studies. The remainder, $485,000, funded grants to 26 colleges and universities to finance special recruitment, orientation, and retention programs for the new fellows.

Program Effectiveness and Progress:

Since this program has just been funded for academic year 1978-79, it is too soon to determine its effectiveness.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

None.

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Legal Training for the Disadvantaged

Legislation:

HEA, 1965, Title IX, Part D, as amended
Public Law 94-482.

Expiration Date:

September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1973	$1,000,000	$ 0
	1974	1,000,000	750,000
	1975	1,000,000	750,000
	1976	1,000,000	750,000
	1977	1,000,000	750,000
	1978	1,000,000	1,000,000
	1979	1,000,000	1,000,000

Program Goals and Objectives:

One of the purposes of Title IX, D, Legal Training for the Disadvantaged, is to make grants to public and private agencies and institutions for the purpose of assisting persons from disadvantaged backgrounds, as determined by the Commissioner of Education, to undertake training in the legal profession. Administered by the Council on Legal Education Opportunity (CLEO), the program was established for the purpose of bringing about a significant increase in the number of lawyers from minority and disadvantaged groups. The program, formerly funded by the Office of Economic Opportunity (OEO), is now partially funded by DHEW. The FY 1974 appropriation was the first specifically for the program under OE direction.

Program Operations:

The administration of the CLEO program is handled through a non-competitive project grant to the Council on Legal Educational Opportunity with no matching requirements. CLEO conducts a nationwide search for eligible candidates to participate in the program. Applications are submitted to the CLEO central office where an initial screening is done. Eligible applications are forwarded to regional panels of law deans and other educators who make the final selection of students.

Table 1

Summary of Information on CLEO Participants 1/

Year Participating in CLEO	# Students Participating	# Completing Summer Institute Successfully	# Entering Law School	# of CLEO Graduates	# Students in Law School Presently Receiving CLEO Aid	# in Law School Not Receiving CLEO Aid	# Withdrawn	# Passing Bar	# Failing Bar
1968	161	151	131	84	0	0	47	68	7
1969	448	444	400	292	2	0	106	158	27
1970	212	197	191	131	0	0	60	75	7
1971	221	210	207	137	0	0	70	31	2
1972	217	213	210	137	0	1	72	19	1
1973	233	229	218	152	1	4	61	20	6
1974	225	225	219	144	4	19	52	N/A	N/A
1975	251	244	234	N/A	178	2	54	N/A	N/A
1976	220	216	205	N/A	176	0	29	N/A	N/A
1977	220	208	196	N/A	192	3	1	N/A	N/A
TOTALS	2,408	2,337	2,211	1,077	553	29	552	372	50

1/ March 1978 application to U.S. Office of Education to continue CLEO program from American Bar Association Fund for Public Education, Council on Legal Education Opportunity.

Table 2

Ethnic Background of CLEO Participants

Ethnic Background	1973	1974	1975	1976	1977	Total
Black	2	88	115	127	106	327
Chicano	1	45	40	42	39	121
Puerto Rican	2	8	16	14	19	49
Other Spanish Speaking		4	2	5	5	11
American Indian		2	1	1		2
Asian Indian		12	9	6	6	21
Caucasian	1	4	2	2	6	12
Other		1	4	3	1	10
TOTAL	6	164	189	200	192	553

The CLEO training program includes a six to eight-week intensive summer preparation program prior to entering law school. Participants are then supported with $1,000 fellowships for each of their three years of law school attendance. In addition, participating law schools waive the tuition and fees that would normally be charged to the students.

Program Scope:

In the 1977-78 academic year, OE funded 205 new fellowships. Altogether 2,613 students have participated in the CLEO program which has involved 144 law schools.

Program Effectiveness and Progress:

Since its operation in 1968, the program has experienced a retention rate among its first-year students of about 80 percent, as compared to the 90 percent rate for law students as a whole. Since the program's inception in 1968 through 1977, a total of 2,337 students have successfully completed the summer institute programs. Of these, 2,211 have entered law school and 1,077 have already graduated. The latter figure represents approximately 69 percent of the possible eligible numbers of graduates and a figure which compares reasonably well with the national norm. An additional 552 students have withdrawn from or failed in law school. Available data on students who participated in the legal training for the disadvantaged program from 1968 to 1977 are summarized in Table 1.

Considerable efforts have been made through the program to increase the number of women going to law school. Forty-three percent of the current participants are females. Similar efforts have been made to attract minorities. Table 2 summarizes the information on the ethnic background of participants from 1973 to 1977. As the table indicates, the majority (approximately 60 percent) of participants are Blacks.

Ongoing and Planned Evaluation Studies:

The Education Amendments of 1976 require the evaluation of a number of HEA Title IX programs, including Part D. OE has completed the first annual study in response to this requirement. The second report due January 1979 is currently being prepared.

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

Applied Management Sciences, "A Study of Specific Federally Funded Graduate Education Programs," February 1978.

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Domestic Mining and Mineral and
Mineral Fuel Conservation Fellowships

Legislation:

Part D of Title IX of the Education Act of 1965, as amended; 20 U.S.C. 1134 n-r.

Expiration Date:

September 30, 1979

Funding History:

Year	Authorization	Appropriation
1975	1/	$1,500,000
1976	1/	3,000,000
1977	1/	4,500,000
1978	1/	4,500,000
1979	1/	4,500,000

Program Goals and Objectives:

The purpose of this legislation is to assist, through fellowships, graduate students of exceptional ability for advanced study in domestic mining and mineral and mineral fuel conservation including oil, gas, coal, oil shale, and uranium. Such students must demonstrate financial need to qualify.

Program Operations:

Institutions of higher education apply directly to the Office of Education. The applications are reviewed and rated by panels of academic experts chosen from outside the Office. Allocations of fellowships are then made to the successful applicants who, in turn, select and nominate to the Commissioner of Education the persons they recommend for these fellowships.

Fellowships are awardable for any level of pre-doctoral study. Tenure cannot exceed 36 months, except an additional 12 months may be awarded by the Commissioner under special circumstances. The usual duration is about 18 months.

1/ "Such sums as necessary" are authorized to support fellowships not in excess of 500 new fellowships each year.

Table 1

Characteristics of Mining Fellows (N=203)

	Sex 1/		Level of Study			Standing of Fellows at End of Year						Positions Obtained			Activities	
	Male	Female	Master	Doctoral	Unknown	Graduated		Continuing	Unknown	Vacated	Replaced	Related	Unrelated	Unemployed	Research	Practica
						M.S.	Ph.D.									
Frequency	186	17	110	21	49	25	3	102	50	30	21	31	0	4	104	15
Percentage	91.6	8.4	60.7	11.6	27.2	13.8	1.6	56.6	27.7	16.6	11.6	17.2	0	2.2	58	8.3

1/ Includes data on some of the replacements as well as the original fellows.

The Commissioner awards to the fellowship recipients such stipends as he may determine to be consistent with prevailing practices under comparable federally supported programs. In 1977-78 each fellow received a stipend of $3,900 for a 12-month period. The institution received an educational allowance equal to the amount paid to the fellow to cover the fellow's cost of tuition and fees.

Program Scope:

Fiscal Year Funds	Total No. of Fellows	No. of New Fellows	No. of Continuing Fellows	Average Cost of A Fellowship
1975	180	180	--	$8,000
1976	375	229	146	8,000
1977	500	300	200	7,800
1978	500	187	313	7,800

In FY 1977, 76 fellows received two-year fellowships.

In FY 1978, 76 fellows received two-year fellowships and 25 fellows received a four-year fellowship to write their dissertations.

Program Effectiveness and Progress:

The final reports submitted to the Office of Education from institutions awarded fellowship grants for 1975-76 were summarized in the Commissioner's 1977 report to Congress. These reports contained complete financial statements and objectives of the programs; some also included the level of study pursued by the fellows, the activities they engaged in and their standing at the end of the year. In addition, information on the positions obtained by the fellows and the strengths and weaknesses of the program were sometimes discussed.

It should be kept in mind that some of the figures reported in this summary may be lower than actually is the case. For example, it is reported that 31 fellows secured employment in related fields. This number may, in actuality, be higher, since, at this time, final reports on the fellowship programs have been submitted by only 26 of the 40 institutions awarded grants. Consequently, much of the information on the fellows was lacking and had to be obtained elsewhere, such as from the grant application itself or from letters of correspondence in the program files--where possible. In spite of these efforts, gaps still exist because the program directors were asked to provide information about only vacating fellows. Those who submitted final reports did so without guidelines as to what issues to address, and hence information about graduates and the employment status as well as other activities, of the fellows, is incomplete.

In the first year of the program, Domestic Mining and Mineral and Mineral Fuel Conservation Fellowships were awarded to 180 students in 39 graduate/professional institutions. [1] Thirty-two were public institutions and seven were privately controlled. Of the $1,500,000 awarded, $1,360,908.46 was expended. These funds were used for stipends, dependent allowances, cost-of-education allowances, and travel. A list of the grantee institutions and the amounts awarded is presented in Table 3.

Table 1 summarizes the available information on the fellows. Information on the degrees sought was available for 131 fellows. Of these, 84 percent were pursuing a master's degree while the remainder were enrolled in doctoral programs. As Table 2 illustrates, the areas of emphasis most frequently chosen by the fellows were evenly divided between engineering and science programs.

Twenty-two institutions provided information on the academic requirements met by the fellows. In addition to the coursework necessary for graduation, research activities such as field research or a thesis were required of the majority of the fellows (104). Others were involved in practica (15).

Most of the fellows were continuing in the Domestic Mining and Mineral and Mineral Fuel Conservation Programs (102). Many students completed their degree requirements and earned their master's degrees (25) or their doctorates (3). Several of the fellowships were vacated (30) due to the graduation or withdrawal of the fellows from the program; however, most were replaced by able candidates. As a result, the 180 fellowships assisted 203 students.

With respect to employment of the fellows, 31 students secured jobs in related fields. Among these 31 were students who withdrew from the fellowship program in order to accept full-time employment. The positions obtained by the fellows included uranium exploration, research for major oil companies and large industries, engineering and teaching. None of the fellows was reported to be working in an unrelated field. Finally, those students who were reported to be unemployed (4) were newly accepted in Ph.D. programs.

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[1] Although 40 institutions were awarded 181 fellowship grants, one institution was unsuccessful in its recruitment efforts to attract one superior candidate. Consequently, the funds went unused and were deobligated. Therefore, all data are based on the remaining 39 institutions.

Table 2

Fellows' Area of Emphasis: Breakdown of Programs FY 1975-76

Engineering	Frequency of Program
Chemical Engineering	10
Mining Engineering	9
Petroleum/Fuels Engineering	8
Geological Engineering	6
Metallurgical and Mineral Engineering	6
Mechanical Engineering	4
Mineral and Civil Engineering	3
Ceramic Engineering	2
Electrical Engineering	1
Industrial Engineering	1
TOTAL	50

Sciences	Frequency of Program
Geology	19
Metallurgy	4
Geophysics	3
Chemistry	3
Metallurgy and Materials Sciences	2
Mineral Economics	2
Earth Sciences	2
Fuels/Fuel Sciences	2
Physics	1
Geochemistry	1
Mineral Processing	1
Extractive Metallurgy	1
Hydrology	1
Biology	1
TOTAL	43

Table 3

Domestic Mining and Mineral and Mineral Fuel Conservation Fiscal Year 1975 Fellowship Awards

State	Institution	Number of Awards	Fellowship Funds
Alabama	University of Alabama	3	$ 25,350
Alaska	University of Alaska	1	8,450
Arizona	University of Arizona	7	59,150
California	Stanford University	6	50,700
	University of California, Berkeley	5	42,250
Colorado	Colorado School of Mines	18	152,100
	University of Colorado	2	16,900
Florida	Florida State University	1	8,450
Georgia	Georgia Technical Institute	2	16,900
	University of Georgia	2	16,900
Idaho	University of Idaho	4	33,800
Indiana	Indiana University	3	25,350
	Purdue University	4	29,550
Iowa	Iowa State University	3	25,350
Kansas	University of Kansas	3	25,350
Massachusetts	Harvard University	1	8,450
	Massachusetts Institute of Technology	2	16,900
Michigan	Michigan Technical University	5	42,250
	University of Michigan	1	8,450
Minnesota	University of Minnesota	5	42,250
Missouri	University of Missouri-Rolla	5	42,250
Nevada	University of Nevada	4	33,800
New Jersey	Rutgers University	1	8,450
New Mexico	New Mexico Institute of Mining and Technology	2	16,900
New York	Columbia University	8	67,600
	Cornell University	2	16,900
North Dakota	University of North Dakota	5	42,250
Ohio	Case Western Reserve University	2	16,900
Oklahoma	University of Oklahoma	8	51,400
Pennsylvania	Pennsylvania State University	17	143,650
South Dakota	South Dakota School of Mines and Technology	3	25,350
Texas	Texas Tech University	2	16,900
	University of Texas	3	25,350
Utah	Brigham Young University	2	7,900
	University of Utah	16	135,200
Virginia	Virginia Polytechnic Institute and State University	4	33,800
Washington	Eastern Washington State College	2	16,900
West Virginia	University of West Virginia	10	84,500
Wisconsin	University of Wisconsin	2	16,900
Wyoming	University of Wyoming	5	42,250
TOTAL		181	$1,500,000

In addition to furnishing the above data on the fellows, some of the institutions addressed the strengths and weaknesses of the program. The major strength identified focused on fostering a greater interest in the program or department, thereby increasing enrollment (11). A second strength cited was the provision of financial support which enabled the students to pursue a full-time course of study (7). Others indicated that the funds were instrumental in expanding activities and further developing the program (6). Finally, two noted that the funds were used to provide special services to the fellows, such as visiting lecturers and travel to professional conferences.

The most frequently identified weakness of the program centered on the lateness of the award which hampered the recruitment process (3). Other weaknesses emphasized the insufficient number of fellowships (2) and the small amount of the stipend (2). It was also suggested that fellowships be awarded for a longer period of time in order to assure the continuity of the program of study and completion of research (1).

Ongoing and Planned Evaluation Studies:

The Division of Postsecondary Programs, Office of Planning in the U.S. Office of Education, completed a report on the program in 1977. An annual report is required by Part E of HEA as amended.

Sources of Evaluation Data:

Program files.

Applied Management Sciences, "A Study of Specific Federally Funded Graduate Education Programs."

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Public Service Fellowships and Institutional Grants

Legislation:	Expiration Date:
P.L. 89-329 Higher Education Act of 1965 (as amended by P.L. 92-318), Title IX, Part A and Part C.	September 30, 1979

Funding History:	Year	Authorization 1/	Appropriation
	1973	$30,000,000	--
	1974	40,000,000	--
	1975	50,000,000	$4,000,000
	1976	50,000,000	4,000,000
	1977	50,000,000	4,000,000
	1978	50,000,000	4,000,000
	1979	50,000,000	4,000,000

Program Goals and Objectives:

The overall goal of this program is to expand and improve the training of persons for the public service, including service in nonprofit organizations. There are two parts to the program. The objective of Part A, which authorizes grants to institutions of higher education, is to establish, strengthen and improve programs for graduate or professional students who plan to pursue a career in the public service. The goal of Part C, which authorizes the award of fellowships for graduate and professional students who plan to pursue a career in the public service, is to assist qualified students in obtaining advanced training for such careers.

Program Operations:

Public service awards are made on a competitive basis. Applications are sent to all four-year colleges and universities inviting them to apply for institutional and/or fellowship grants. Institutions receiving fellowship grants agree to recommend to the Commissioner students of superior promise who plan to enter public service.

1/ In addition to these authorizations for Part A, the Commissioner is authorized to appropriate such sums as may be necessary for 500 fellowships.

College graduates apply for fellowships by applying to institutions which have been awarded fellowship grants. Each fellow's stipend is $3,900. In addition, an educational allowance of $3,900 per year is provided the institution for each fellow enrolled in the program. Now fellowships are awarded for full-time study only for a minimum of 9 up to a maximum of 36 months.

No set amounts are authorized for institutional grants. Grants may be used for improving faculty, expanding public service programs for graduate study, strengthening administrative operations, carrying out cooperative arrangements with other graduate or professional schools, and purchasing or renting educational materials.

Program Scope:

In Fiscal Year 1978, institutional grants totalling $1.3 million went to 74 colleges and fellowship grants totalling $2.6 million went to 97 colleges and benefitted 332 fellows.

Program Effectiveness and Progress:

Public service programs funded (71) in Fiscal Year 1975 were primarily in public institutions (N=52; 73%) and were usually in departments of public administration, public affairs, urban studies, or political sciences. Over half (N=38; 53%) granted the MPA degree, and only 11 reported granting a doctorate, i.e., Ph.D., D.P.A. or D.U.A. They quite frequently were interdepartmental or interdisciplinary (28), in that students were encouraged to take courses in other departments or that the faculty represented several disciplines. Many (17) also have developed cooperative arrangements such as joint degree programs or specialty training with other graduate schools or departments. Somewhat fewer programs (12) had a primary emphasis on training students who already worked in the public service or served mostly part-time students. Others (12) had a special orientation in their programs, such as an emphasis on business management, or providing practical experience.

The programs focused on preparing students to work at the local and state level (30) and/or emphasized training generalists (21). Some emphasized specific areas of training, such as urban management (11), rural management (2), and non-profit institution management (4). About half of the programs were two-year master's programs, while 24 could be completed in 1 year and 14 completed in 18 months. The concern for enrolling women and minorities was evident from the fact that 33 (46%) institutions indicated that special efforts were made to recruit them.

As noted in Fiscal Year 1975 institutional grants were awarded to 58 programs. The amounts ranged from $8,000 to $79,459, and a total of $2.3 million was awarded. Of this, approximately $2.2 million was expended and was matched by $1.3 million from the institutions.

These institutions used the funds in a variety of ways, the single most frequent being staff improvement. Thirty programs (52%) hired new faculty, and 34 programs (59%) had some kind of special training for faculty (and sometimes students). This training usually took the form of workshops, conferences, and seminars, either on or off campus. Staff improvement also included bringing practitioners on campus as part-time faculty or as resources for the workshops and seminars.

The programs were improved by the development and addition of new courses (28 schools) and by expanding the internship programs (30 schools). The latter might have involved hiring a director, providing faculty release time to supervise interns, developing new positions for interns, or increasing the number of interns in the program. Finally, funds were often used to support administrative staff in order to improve the administration of the program.

Federal regulations specified five areas of eligibility for expending institutional grant funds: (1) faculty improvement, (2) expansion of the program, (3) acquisition of instructional equipment, (4) development of cooperative arrangements among professional and graduate schools, and (5) strengthening graduate and professional school administration. As the discussion of the primary usages of the funds indicates, expenditures most often fell in areas 1, 2, and 5.

A total of $1.7 million in Fiscal Year 1975 was awarded for all fellowships and approximately $1.24 million was expended on stipends for the fellows and cost-of-education awards to the institutions. Of the 263 fellowships awarded to students in 52 institutions, 261 were given to students pursuing a master's degree.

In requesting fellowship funds, many institutions (21) emphasized that they would serve to attract more students to the public service. Others would use the funds to attract students to a specific program within the school or department (13), while 11 focused on the need to provide financial support to full-time students.

The table summarizes the information about the fellows. Most of the fellows (168) were continuing in the public service program. Sixty-nine were awarded a master's degree. Twenty-nine vacated their fellowships, a few because of graduation. However, many of those who gave up their grant did so because (1) they secured employment in their field, (2) they secured a higher-paying assistantship, or (3) they became ill. In fact, 88 of the 263 fellows secured positions in a related field. Five took employment in unrelated areas, usually in profit-making organizations. Of the 11 who were unemployed when they left the program most were continuing their education. Others had restricted their search to a specific geographical location or had temporarily postponed seeking employment.

Table

Characteristics of Public Service Fellows (N=263)
FY 1975

	Sex		Level of Study		Status at End of Year			Positions Obtained			Activities as Students	
	Males	Females	M.A.	Ph.D.	Graduates	Continuing Students	Vacated Fellowships	Public Service	Other	Unemployed/ seeking further degrees	Internships	Research
Frequency	151	112	261	2	69	168	26	88	5	11	155	34
% of Fellows	57	43	99	1	26	64	10	33	2	4	59	13

Source: Program files.

The emphasis on educating practitioners is seen in that 155 fellows were reported to have participated in an internship, while only 34 were reported to have engaged in research. This may have been due, in part, to the fact that so many students had not yet graduated and may have been planning to do research later.

Institutions receiving fellowship grants were asked to identify strengths and weaknesses of the program. Of the 43 who commented on the program, most (19) noted that the grant provided needed financial support to students, allowing them to pursue their degrees on a full-time basis. Other positive effects were as follows:

- Attracted interest in the department and the public service (14).
- The cost-of-education funds allowed for special services to be provided to the fellows, such as travel or opportunities to become involved in improving the program (13).
- The cost-of-education funds allowed for services to be provided to non-fellows and/or to support the program (7). This applies to public institutions with low tuition.

The most commonly mentioned weakness was the lack of sufficient time between notification of the award and the beginning of the fall term, thus prohibiting national recruitment for fellows. Twelve institutions mentioned this. Other weaknesses were:

- The fact that there was no commitment to continue the grants prohibited a sense of continuity (5).
- The fellowships were non-transferable (4). (This regulation has since been changed.)
- The stipend was too small for fellows on urban campuses (2).
- An insufficient number of fellowships was awarded (2).

Ongoing and Planned Evaluation Studies:

HEA Amendments of 1976 have mandated an annual report on and evaluation of the graduate fellowship programs. OPBE, working with the program staff, has completed and forwarded the first such report.

Sources of Evaluation Data:

Program files, Division of Training and Facilities.

Applied Management Sciences, "A Study of Specific Federally Funded Graduate Education Programs."

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact. Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Law School Clinical Experience Programs

Legislation:	Expiration Date:
P.L. 89-329 Higher Education Act of 1965 (as amended by P.L. 92-318), Title XI.	October 1, 1979

Funding History:	Year	Authorization	Appropriation
	1978	$7,500,000	$1,000,000
	1979	7,500,000	2,000,000

Program Goals and Objectives:

The overall goal of this program is to provide clinical experience to students in the practice of law particularly in the preparation and trial of cases.

Program Operations:

In a competitive process, grants or contracts are awarded by the Commissioner to some accredited law schools to establish or expand programs which provide clinical experience to students in the practice of law. The Federal share of cost may not exceed ninety percent. Funds may cover expenditures for planning, training faculty, hiring new faculty, travel and per diem for students and faculty, reasonable stipends for students for work in the public service not performed during the academic year, equipment, and library resources. The maximum grant a law school may receive in any Fiscal Year is $75,000.

Program Scope:

For the academic year 1978-79, $1,000,000 was awarded to 29 law schools to establish or expand programs that provide law students with actual law experience. Institutions receiving the grants which ranged in size from $29,000 to $56,000 are located in 24 States and the District of Columbia.

Program Effectiveness and Progress:

Since the awards have just been made, it is not possible to determine their effectiveness at this time.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

None.

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about program effectiveness,

Contact: Ann Hershner, 245-8130

I. EVALUATION OF EDUCATION PROGRAMS FOR THE HANDICAPPED

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools

Legislation:

ESEA Title I, Section 121
(P.L. 89-313), as amended by
P.L. 93-380, Section 101 (a) (2) (E)

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION 1/	APPROPRIATION
	1966		$ 15,900,000
	1967		15,100,000
	1968		24,700,000
	1969		29,700,000
	1970		37,500,000
	1971		46,100,000
	1972		56,400,000
	1973		75,962,098
	1974		85,777,779
	1975		87,500,000
	1976		95,869,000
	1977		111,400,000
	1978		121,600,000
	1979		132,500,000

Program Goals and Objectives:

This program was designed to provide Federal assistance to State agencies which are directly responsible for providing free public education for handicapped children. Handicapping conditions include mental retardation, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, deaf-blind, specific learning disabilities, multi-handicapped or other health impairments requiring special education. State agencies are authorized to use Federal assistance only for programs and projects which are designed to meet the special educational needs of these handicapped children. Acquisition of equipment and construction of school facilities may be included in these projects. Assurances must be given that each child will be provided with programs to meet his special educational needs. The primary emphasis of

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1/ The authorization level under this legislation is determined by formula and taken from the total Title I appropriation prior to any other allocation of Title I funds. See text for definition of the formula. Appropriation designated in terms of "year of use."

this program is to fund institutions: (1) which provide full-time residential programs to those children requiring this service, (2) which provide special itinerant services on a part-day basis for children who are enrolled in regular day school but require special, additional assistance, and (3) for children confined to their homes because of the severity of their handicap.

Program Operations:

Federal funds under this program are advance funded; i.e., funds appropriated in a given fiscal year are obligated for expenditure in the succeeding fiscal year, as determined by a formula. This formula is based upon the number of eligible handicapped children counted in average daily attendance (ADA), in an elementary or secondary program operated or supported by a State agency, multiplied by 40 percent of the State per pupil expenditure (or no less than 80 percent or more than 120 percent of the National Per Pupil expenditure). With the passage of P.L. 89-313 in 1974, children in average daily attendance (ADA) in a State agency who return to an LEA are eligible to participate in the P.L. 89-313 program. The eligibility criteria for LEA participation are:

- The child must have been reported previously in the ADA of a State agency.
- The child must be currently enrolled in an appropriately designed special educational program in the LEA.
- The State agency transfers to the particular LEA funds generated by each such child.

The Bureau of the Education of the Handicapped (BEH) is responsible for the Federal administration of this program. BEH allocates the funds to State agencies. Applications for the project funds are then submitted by participating institutions/schools to their supervising State agency. Those applications approved by a State agency are forwarded to the State education agency (SEA) for final approval and release of funds. All participating institutions/schools must submit end of year reports to its State agency accounting for the expenditure of funds and providing an evaluation of project activities.

Program Scope:

In FY 78 (i.e., FY 77 appropriation) approximately $121 million was allocated to the 50 States, the District of Columbia, Puerto Rico and Guam.

The funds allocated were administered by 144 State agencies which supervised project participation at 3,800 State schools, 3,100 local educational agencies and local schools. The average daily attendance reported by these institutions was 223,804 children, as of October 1977. Those children benefiting under the program are distributed across the following handicap categories as follows: Mentally Retarded - 131,487; Deaf and Hard of Hearing - 27,522; Emotionally Disturbed - 30,378; Orthopedically and Other Health Impaired - 24,520; Visually Handicapped - 9,897. The average per pupil expenditure is $543.

Program documentation indicates that FY 78 program funds will be administered by 146 State agencies which will supervise activities of 3,956 State schools and 3,000 local educational agencies and local schools. The funds appropriated in this fiscal year, for use in school year 1978-1979, should provide services to approximately 223,000 children. The projected average cost per child served should be $595.

Program Effectiveness and Progress:

An exploratory study, completed by Abt Associates, Inc., May 1977, surveyed 100 providers of services to severely handicapped children and youth. Providers were assessed to determine the type, kind, and quality of services delivered to the 8,615 severely handicapped served by these providers.

This study found that the basic predictive variables were: (a) type of provider, (b) size of the severely handicapped population served by individual providers, and (c) clients' handicapping condition. Abt Associates, Inc., concluded the following about the providers surveyed:

Provider Type:

Providers were classified as offering residential programs, day care programs, or a combination of both. Providers were characteristically different from each other and not compatible for analytical or predictive purposes. Services rendered and the corresponding cost and quality of services provided (by provider type) to the severely handicapped were extremely different. Among residential facilities: 90 percent provided educational and rehabilitative services, had an average waiting period between client's application and his/her admission of 7.7 months, accepted 61 percent of the applicants, and retained clients for a longer time period than did mixed or day facilities. Though residential providers released more clients annually than did day providers, a greater number of their discharged clients continued to receive educational services in a non-school setting. By contrast, day facilities always offered a wider variety of services, performed formal evaluations, tended to have greater parental involvement, and had an average waiting period of slightly more than 3 months. Provider characteristics were influenced by the size and the type of the handicapped population served by the providers.

Size:

Larger providers generally offered a wider variety of services, performed formal evaluations, and tended to have greater parental involvement than found among providers serving only a small number of severely handicapped children and youth.

Type of Handicapping Condition of Clients:

There were pronounced differences among providers serving primarily the mentally retarded, the deaf-blind or the emotionally disturbed. Providers serving the above conditions differed by quality of services delivered, staff-client ratio, type and qualifications of personnel and an array of other variables.

Quality of Care:

Several generalizations about the quality of client care provided can be made. Overall findings indicate that:

- Day providers were of higher quality than residential or mixed providers.
- Larger providers were of higher quality than smaller providers, with the optional number of clients being 51-200.
- Providers serving primarily emotionally disturbed clients were of higher quality than all other providers.
- Public and private providers were virtually identical in quality.

General Findings:

All providers received approximately 80 percent of their funds from public funding (i.e., State, Federal and local governments as well as welfare programs). Parents' payments supported very little of the total providers' expenditures; they varied from 1 percent for day care facilities to 8 percent for residential facilities. Residential and mixed facilities were mainly supported by State funds; whereas, day providers had about equal funds from State and local sources. All 3 types of providers received about 15 percent of their funds from Federal programs. In general, 75 percent of provider expenditures went for personnel costs. Residential providers spent nearly twice as much as day providers on personnel costs associated with rendering educational/habilitative services.

Reallocation of expenditures was not found to contribute to a noticeable increase in the quality of care provided by a facility serving the severely handicapped.

This study, designed as an exploratory endeavor, demonstrated the critical need for more detailed information and for reliable data for future evaluations. Additional evaluations on the severely handicapped population should be conducted before making major policy decisions regarding P.L. 89-313.

Ongoing and Planned Evaluation Studies:

A BEH study to evaluate this program was awarded to Rehab Group, Inc., September 1977; it will be completed by January 1979. The following areas will be examined at the State agency and provider (i.e., institutions, day programs) levels:

a. State Agencies

(1) Administration of the Program - examination of administrative models in operation and the manner in which the following functions are handled: monitoring, auditing, project evaluation, project approval, and personnel assignments. The analysis would include a review of the methods by which ADA counts are validated.

(2) Program Standards - an examination of the standards for program operation in relation to State regulation standards for LEAs.

(3) Fiscal Analysis - review of the allocation and distribution of P.L. 89-313 funds and a description of the procedures used to track funding allotments as they flow to the LEAs (i.e., the transfer provision). A comparison, by handicapping conditions, of the expenditures for services for P.L. 89-313 eligible children.

b. State Institutions/day programs

(1) Program Standards - review of the standards for admission, child assessment, program evaluation, personnel requirements, and pupil/teacher ratios; and to determine what standards exist and how they compare to standards set at the SEA level.

(2) Program Characteristics of Service Delivery Providers - review of the programs/services provided to handicapped children eligible under P.L. 89-313 funding.

(3) Fiscal Analysis of Services Provided - a review of the uses of State and local funds compared to Federal monies.

Sources of Evaluation Data:

1. Bureau of the Education of the Handicapped program information.

2. "An Assessment of Selected Resources for Severely Handicapped Children and Youth," Abt Associates, Cambridge, Massachusetts, April 1977.

For further information about program activities,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Judy G. Kairath
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Grant Program

Legislation:

P.L. 91-230, Part B, as amended by P.L. 93-380, as amended by P.L. 94-142, and P.L. 95-561, Assistance to States for Education of Handicapped Children

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	$ 51,500,000	$ 2,500,000
	1968	154,500,000	15,000,000
	1969	167,375,000	29,250,000
	1970	206,000,000	29,190,000
	1971	200,000,000	34,000,000
	1972	216,300,000	37,500,000
	1973	226,600,000	50,000,000
	1974	226,600,000	47,500,000
	1975	1/	200,000,000 2/
	1976	1/	200,000,000 3/
	1977	5/	315,000,000 4/
	1978	5/	520,800,000 6/
	1979	5/	804,000,000

1/ Includes $90 million in a second supplemental appropriation bill.

2/ Double appropriation changing program to advance funding mode.

3/ Includes $30 million from second supplemental appropriations Act (P.L. 94-303).

4/ $63,230,073 of this amount was carried over into the next fiscal year.

5/ Authorization: Number of handicapped children aged 3-21 multiplied by 5% of APPE (FY 1977), 10% of APPE (FY 1978), 20% of APPE (1979), 30% of APPE (1980) and 40% of APPE (1981 and thereafter).

6/ Includes $37,800,000 supplemental but not $63,230,073 carried forward from FY 1977 appropriation.

Program Goals and Objectives:

The primary goal of this program is to provide full educational opportunities to all handicapped youth. Through grants to States, the program design is to assist in the initiation, expansion and improvement of programs and projects for the handicapped (ages 3-21 years of age) at the preschool, elementary and secondary levels. The grants are intended to increase the quality and quantity of programs for handicapped children. Federal and local resources are used in order to insure that all handicapped children receive a free, appropriate public education designed to meet the child's unique educational needs; and further, to guarantee that each child is educated in the least restrictive environment in accordance with his/her special needs.

Program Operations:

Prior to FY 77, non matching grants were made to States and outlying areas. The program was advance funded; i.e., funds appropriated in a given fiscal year were obligated for expenditure in the succeeding fiscal year. Funds were allocated to States on the basis of the number of children in each State 3-21 years of age multiplied by $8.75, ratably reduced with a minimum $300,000 grant.

Beginning in FY 78 (September 1, 1978) the Education of All Handicapped Children Act, P.L. 94-142, required all States to provide a free appropriate education to all handicapped children 3-18 years of age (providing that this age range corresponds with State law). Any State requesting a grant is required to submit to the Commissioner, through its State Educational Agency, a State plan. State plans are required to demonstrate: (1) the policies and procedures used to implement the program objectives; (2) demonstrate the manner in which the administration of the plan is to be conducted; (3) provide assurance that the control and administration of funds is performed by a public agency; and, (4) assure that every attempt will be made to identify and serve all children with handicapping conditions. The Education of All Handicapped Children Act, P.L. 94-142, provides a new State distribution formula; this program formula determines the maximum funding level each State is entitled to receive. By formula, maximum funding is equal to the number of handicapped children aged 3-21 receiving special education and related services multiplied by a percentage of the national average per pupil expenditure. The percentage increases yearly, up to a maximum of 40 percent in 1982.

Fiscal Year of Use	Percent of Per Pupil Expenditures
1978	5
1979	10
1980	20
1981	30
1982	40

In determinig the amount of funds to be allocated to each State:

- No more than 12 percent of the number of all children in the State, ages 5-17, may be counted as handicapped.
- 5 percent of the total funds received or $200,000 (whichever is greater) may be used by States for administrative costs.
- In FY 78, a minimum of 50 percent of Part B funds will "flow-through" States to LEA's and intermediate educational units if they meet legislative requirements and priorities and are able to qualify for an allocation of at least $7,500. Starting in FY 79, the minimum flow through will be 75 percent.
- Part B funds that are retained by the State and are not used for administrative purposes must be matched on a program by program basis by the State from non-Federal sources.

Other requirements of P.L. 94-142 are that States provide an education to all handicapped children that:

- Is appropriate and individualized
- Is available to all children 3-18 by September 1, 1978
- Expands to include all children 3-21 years of age by September 1, 1980.

The intent of P.L. 94-142 is to assist the States to defray the excess costs of educating the handicapped. Excess costs are defined as those in excess of the amount normally spent on regular educational programs in the States.

Program Scope:

In general, the purpose of P.L. 94-142 is to provide grants to the States to assist them in the initiation, improvement, and expansion of educational and related services for handicapped children at the preschool, elementary, and secondary levels.

The following chart displays various descriptive information about the P.L. 94-142 program based, in part, on FY 1978 data.

FY 77 advance appropriation for FY 78	$315 million
1978 Allocation (remainder carried into FY 79)	$252 million
Per Child Payment (average)	$ 70
Number of Children Served (estimated)	3.4 million
Institutions Eligible	SEAs (50% funds reserved) LEAs (50% funds Intermediate units flow-through)
Type of Grant	Formula Grant to State Education Agencies -- Application to SEA with assurances (no project)
Handicapping Conditions	Mild to Moderate within each disability category
Educational Settings	Generally directed to LEAs
Intended use of funds	Must be expended according to service priorities for excess costs only. May be used to supplant State funds only after LEAs are in compliance with full service mandate.

As stated earlier, there are established priorities for utilizing these program funds. The expenditure of EHA-B funds is restricted by regulatory requirements which dictate service priorities. These priorities are providing services to the unserved and underserved (i.e., those with the most severe handicapping conditions within each disability area). In general, grants are used for the following broad priorities:

1. Full implementation of State-wide child identification programs, including diagnostic and evaluative services, which began in school year 1976-77.

2. Continued initiation and expansion of programs to serve the unserved and underserved, most severely and multiple-handicapped. These programs (a) stress least restrictive placement of children in local schools and (b) includes short-term inservice training of local school staff.

3. Continued expansion of programs for preschool children.

As in FY 1977 "child find" activities (including diagnostic and placement services) continue to be a major focal point for State/local efforts under EHA-B. These "child find" activities have surfaced a greater "number" of handicapping conditions. This diversity encompasses the problems of not only severity of condition but also "cultural" differences with which the public schools and institutional settings must deal. Since the students have been "found" in such a wide variety of geographically diverse locations - yielding low incidence handicaps in rural settings - regionalization or the development of collaboratives has become necessary. Typically, through this organizational structure, educational systems can be both humanly and fiscally responsive. Related services such as speech, evaluation (psychological and diagnosis) physical therapy, occupational therapy, etc., which would have been financially impossible in a rural area can be made available. States' grant awards are integrally related to the child count data SEA's must provide to the BEH. The following is a preliminary tabulation of children (aged 5-21 only) by handicapping condition for FY 1978. 6/

6/ This tabulation is based exclusively on child count data (counts were taken October 1, 1977, and February 1, 1978) received from 50 States. The final child count has not been officially computed by the BEH. The figures reported above will change as a result of the official BEH computation.

Handicapping Condition	Percentage Distribution	No. of Children
Mentally Retarded	24.4	812,053
Hard-of-Hearing	1.0	33,211
Deaf	.7	23,798
Speech Impaired	36.8	1,225,448
Visually Handicapped	1.0	31,978
Emotionally Disturbed	7.2	239,966
Orthopedically Impaired	2.4	79,941
Other Health Impaired	4.4	146,284
Specific Learning Disabled	22.1	733,827
TOTAL	100.0	3,326,506

Program Effectiveness and Progress:

An evaluation of this program was completed in 1972. With the passage of P.L. 94-142, the findings of this study are obsolete. Accordingly, to avoid confusion the summary of these findings has been omitted.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Bureau of Education for the Handicapped program information.

For further information about program operations,

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For further information about studies of program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Preschool Incentive Grants

Legislation:	**Expiration Date:**
P.L. 94-142, Section 619, "Incentive Grants"	Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	1/	$12,500,000
	1978	1/	15,000,000
	1979	1/	17,500,000

Program Goals and Objectives:

The purpose of this program is to stimulate State and local education agencies to expand educational services to handicapped preschool children, ages 3-5, thereby increasing their opportunities to benefit from early educational intervention.

Program Operations:

The Education for all Handicapped Children Act (P.L. 94-142) mandates that all handicapped children aged 3-21 shall receive a free and appropriate education unless such provision is inconsistent with State law or practice. This provision of P.L. 94-142 has the effect of mandating educational service to the handicapped who are in the age group for whom education is compulsory in each State; however, many States do not yet mandate or customarily provide educational services to preschool children; therefore, a large portion of the handicapped preschool population, ages 3-5, would not have the opportunity to benefit from the service mandate contained in P.L. 94-142. As an incentive for States and local education agencies to develop and expand programs for this age group, Section 619 of P.L. 94-142 authorizes grants to States based on the actual number of handicapped preschool children being served.

1/ Permanent authorization. The authorization level for this program is determined by formula; each handicapped child (three to five years of age) within a State generates a maximum of $300 if the child is receiving special education and related services.

SEA's must report to the Commissioner no later than April 1 of each year the average number of handicapped children residing in the State who were receiving special education and related services on October 1 and February 1 of that school year. The number of children ages three through five so reported will be the basis for awarding Preschool incentive grants to SEA's. The maximum amount of the grant per year which a State may receive is $300 for each child 3-5, counted as receiving special services with ratable reductions made in the size of awards, depending upon the magnitude of appropriation. State educational agencies may distribute funds received under this program to local educational agencies on a discretionary basis.

Program Scope:

In order to be eligible for funding under this program a State must:

(1) make application to the Commissioner of Education

(2) have in effect a policy that assures all handicapped children a free appropriate public education

(3) have on file in the U.S. Office of Education an approved State plan to provide such services, and

(4) already be providing services to preschool handicapped children ages 3-5.

Program Effectiveness:

In school year 1976-77 BEH data show that approximately 196,000 handicapped children, ages 3-5, were served through this program. It is estimated that slightly more than 200,000 children will be served in school year 1977-78. Based on the $15 million appropriation each child will receive $75.

As a complement to the Incentive Grant program which aims at supporting basic educational and related services, the Early Childhood Education program authorized by Part C, Section 623, of the Education of the Handicapped Act supports demonstration projects which focus on improving the quality of educational programs for young handicapped children. The incentive grant program distributes funds on a formula basis, whereas the Early Childhood projects are funded through the discretionary grant process.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of Education for the Handicapped program information.

For further information about program information,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Resource Centers

Legislation:

P.L. 91-230, Part C-
Section 621, Centers and Services
to Meet Special Needs of the
Handicapped,

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968		
	1969	$ 7,750,000	$ 5,000,000
	1970	10,000,000	3,000,000
	1971 1/		3,500,000
	1972 1/		3,500,000
	1973 1/		7,243,000
	1974 1/		7,243,000
	1975	12,500,000	7,087,000
	1976 3/	18,000,000	10,000,000 4/
	1977	19,000,000 2/	9,750,000
	1978	19,000,000	9,750,000
	1979	19,000,000	9,750,000

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C, EHA, which includes early childhood projects, Regional Resource Centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

2/ Total authorized for section 621 is $19,000,000; other funds requested under section 621 were $3,250,000 for severely handicapped projects.

3/ Contracts were awarded to 8 regional resource centers for developing 16 direction service programs.

4/ In April 1975 litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 continuing resolution; of these funds, $3,131,652 were used for Regional Resource Centers, increasing obligations over the 1976 appropriation by that amount.

Program Goals and Objectives:

The Regional Resource Centers Program was established to encourage the development and application of exemplary appraisal and educational programming practices for handicapped children. The centers are given the responsibility of developing a national support system to assist State and local agencies develop the capacity to provide needed diagnostic and prescriptive services. To accomplish the goals and objectives of this program, the Centers use demonstration, dissemination, training, financial assistance, staff expertise, and consultation. The Centers also act as backup agents where State and local agencies have inadequate or nonexistent service programs. Among the major activities of the Centers are:

- Identification of unserved handicapped children.
- Measurement and diagnosis of handicapped children for the purpose of proper educational placement.
- Development of educational and vocational programs for handicapped children.
- Provision of technical assistance to relevant personnel (including teachers and parents) in implementing appropriate services for the handicapped learner.
- Periodic re-examination, re-prescription or case-tracking to validate the appropriateness of program placement for children.

In FY 76, eight Regional Resource Centers also operated 16 Direction Service Program Centers. These centers encouraged LEA's to adopt programs of comprehensive referral services through the operation of models which would:

- Provide a one-stop information system
- Attempt to develop multidisciplinary approaches to integrate services
- Require parent participation
- Stress follow-up, periodic reassessment, and program service evaluation
- Match child's needs to available services

Program Operations:

To meet program goals and objectives, grants and contracts are awarded to institutions of higher education, State educational agencies, or combinations of such agencies or institutions. Within particular regions of the United States, grants or contracts may be awarded to one or more local educational agencies. Projects are approved for periods of 36 months. However awards are made annually, and renewed on the basis of a Center's effectiveness and the availability of funds. Initial awards are made on a competitive basis. Awards pay for all or part of the costs of the establishment and operation of the Regional Centers.

Program Scope:

The FY 77 appropriation ($9,750,000) funded 14 awards consisting of a national coordinating unit and 13 Regional Resource Centers. The resource centers assisted either single or multi-State regions, were responsible for providing special education skills training, technical assistance to SEA's for developing and implementing comprehensive State plans for services to the handicapped, and direct educational referral services. Eight of the 13 centers operated the 16 Direction Service Centers which were initiated in FY 76.

FY 78 program funds support 16 Regional Resource Centers. The current emphasis is on promoting child referral and evaluation and upon providing technical assistance to SEA's and LEA's to assist them develop and implement the individualized educational program requirements (IEP) and the free appropriate public education requirements (FAPE) specified in P.L. 94-142. An anticipated 9,000 personnel will be trained in the best available procedures for carrying out the IEP/FAPE mandate. In addition, 90,000 handicapped children are expected to be appraised, referred, and to receive other educational services as a result of this program's activities. The RRCs will also assist the 57 State educational agencies develop their comprehensive State plan required by Section 613 of P.L. 94-142, with particular emphasis devoted to developing case findings and identification systems.

FY 78 distribution of funds across activity areas is:

Activity	Distribution
State program development	$ 5,265,000
Educational appraisal	1,365,000
Educational programming	1,852,500

Activity	Distribution
Sharing resources	$ 292,500
Project administration	975,000

Program Effectiveness:

The primary limitations on meeting the stated objectives of this program are: (1) the unavailability of best practices in utilizing validated diagnostic procedures, (2) insufficient funds available to State and local educational agencies to develop and implement effective diagnostic, assessment, evaluation and reevaluation programs, and (3) trained diagnosticians and diagnostic teams available in sufficient numbers or with sufficient resources to fully implement the requirements of P.L. 93-380 and P.L. 94-142.

Ongoing and Planning Evaluation Studies:

Communication Technology Corporation was awarded a contract to conduct an assessment of the capacity building accomplishments of the REgional REsource Centers. The contractor's efforts will be directed to examining how effectively the RRCs are in assisting SEAs and LEAs implement the Individualized Education Program and the Free Appropriate Public Education requirement mandated by P.L. 94-142.

The study will be completed in April 1980, cost $400,000 and is being conducted in two phases. Phase I will include: document review, instrument development and field testing. Phase II will include the data gathering, data processing, analysis and report writing activities.

Source of Evaluation Data:

Bureau of the Education for the Handicapped program data.

For further information about program operations,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Judy Kairath
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Deaf Blind Centers

Legislation:

P.L. 91-230, Title VI, Part C, Section 622, Centers and Services to Meet Special Needs of the Handicapped,

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969	$ 3,000,000	$ 1,000,000
	1970	7,000,000	4,000,000
	1971 1/		4,500,000
	1972 1/		7,500,000
	1973 1/		10,000,000
	1974 1/		14,055,000
	1975	15,000,000	12,000,000
	1976	20,000,000	16,000,000
	1977	20,000,000	16,000,000
	1978	22,000,000	16,000,000
	1979	24,000,000	16,000,000

Program Goals and Objectives:

This program's purpose is to provide assistance to deaf-blind children by helping them reach their full communication potential so that they can reach self-fulfillment and participate in society. These program objectives are accomplished by working with deaf-blind children as early in life as feasible and by providing effective specialized, intensive professional and allied services, methods and aids. A limited number of model centers for deaf-blind children are funded under this program.

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C. EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operation:

Grants or contracts are made with public or nonprofit private agencies, organizations, or institutions to pay for all or part of the cost of establishing regional centers and for the operation of service contracts with State, local, and private organizations. Grants or contracts for this purpose are awarded based on the availability of existing services and the assurance that a center can provide:

- o Comprehensive diagnostic and evaluative services for deaf-blind children.
- o A program for the adjustment, orientation, and education of deaf-blind children which integrates all the professional and allied services necessary for these children.
- o Effective consultative services to parents, teachers, and others who play a role in the education of these children.

These services may be provided to deaf-blind children (and where applicable, to other persons) whether or not they reside in the center, may take place at locations other than the center, and may include transportation of children, attendants, and/or parents.

Program Scope:

It has been estimated that approximately 50 percent of the funding for deaf-blind programs come from State and local government. In FY 78 there are 10 regional centers serving deaf-blind children. In order to reach the widely dispersed deaf-blind population, the regional centers subcontract with approximately 250 to 300 State, local and private organizations. The current program thrust is upon rendering full-time educational services and upon providing technical assistance to subcontractors, in order to upgrade the development, implementation, and coordination of new service delivery systems and to facilitate the development of program alternatives. This program will carry out the following activities during FY 78:

- o Full-time educational services
- o Part-time educational services
- o Medical diagnosis and educational evaluation

- o Family counseling
- o Inservice personnel training
- o Satellite homes
- o Dissemination of information on methodologies, materials, curriculum, and proceedings of workshop and training services, and
- o Pre-vocational training.

Program Effectiveness and Progress:

Program information suggests that the major drawback in reaching the program's goals is the acute shortage of trained teachers and teacher-aides. An estimated 500 to 600 additional teachers are needed to meet the needs of the known population of deaf-blind children. Current training programs are annually producing only 40 to 50 teachers with special qualifications for teaching deaf-blind children. Additionally, though facilities are available, many need to be modified or renovated to benefit these children. Lack of instructional materials and technology is another deterrent toward program success.

Program monitoring information indicates that the Centers have been successful in terms of reaching increasing numbers of deaf-blind children. The 4,516 children served in FY 76 compares favorably with 4,170 in FY 75 and represents a substantial increase over FY 69 when 100 children were served by six programs in the United States.

In FY 78 approximately 5,996 deaf-blind children have been identified. During this year children continued enrollment in full-time programs and 728 will be served in part-time programs. About 3,000 children received initial diagnosis and evaluation services. Parents continued receiving counseling and 3,000 teachers and aides were provided training related to problems of the deaf-blind population. Average per pupil cost to full-time educational programs equals $3,553. Part-time per pupil costs averages approximately $549.

Despite this evidence of growth in FY 78, considerable variation exists in the amount and quality of services provided. The Bureau is currently establishing basic minimum standards of service for the entire program.

Ongoing and Planned Evaluation Studies:

A study was completed in May 1977 by Abt Associates Incorporated, titled, "An Assessment of Selected Resources for Severely Handicapped Children and Youth." This assessment described characteristics of 100 service providers to the severely handicapped population; among these were providers to the deaf-blind. This evaluation demonstrated that providers serving deaf-blind clients:

- o Often had mandates to serve other disability groups.
- o Had high staff-client ratios for certified and non-certified teachers and attendants; however, this was not so for other types of staff.
- o Varied in the quality of services they provided; e.g., residential providers delivered high quality services, whereas day care providers generally rendered services of poor quality.
- o Commonly discharged deaf-blind clients because of (a) functional deterioration of the client or (b) a decrease in the severity of the condition; however, the discharge rate for this disability group was lower than found for other severely handicapped client populations.

Sources of Evaluation Data:

In an effort to more systematically monitor and assess the activities and performance of the regional centers and their service providers, the BEH contracted with a team of experts on the deaf-blind to develop a set of guidelines to assess the program and use those guidelines in an on-site review of each deaf-blind region. During FY 78, seven regions were visited. The observations, data, and conclusions produced by the team of experts were compiled and analyzed by another third-party contractor. Their report to the BEH indicated that direct services to children provided at the regional and subcontractor levels were generally of high quality, while services to teachers and parents were of lesser quality. The major area of weakness was regional center administration, particularly fiscal control and management.

This information has been used by the BEH to provide technical assistance to current contractors. Since the Deaf-Blind program entered a new funding cycle in FY 78, efforts have been taken to ensure that previously identified deficiencies do not manifest themselves in new contract awards.

1. Bureau of the Education of the Handicapped, program data.

2. "An Assessment of Selected Resources for Severely Handicapped Children and Youth", Abt Associates Incorporated. Completed: May 1977

For further information about program operations,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Judy G. Kairath
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Early Childhood Education

Legislation:

P.L. 91-230, Title VI, Part C, Section 623, Centers and Services to Meet Special Needs of the Handicapped

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 1,000,000	$ 945,000
	1970	10,000,000	4,000,000
	1971 1/		7,000,000
	1972 2/	7,500,000	
	1973 3/		12,000,000
	1974 4/		12,000,000
	1975	25,500,000	14,000,000
	1976	36,000,000	22,000,000
	1977	38,000,000	22,000,000
	1978	25,000,000	22,000,000
	1979	25,000,000	22,000,000

Program Goals and Objectives:

This program was designed to build the capacity of State and local educational agencies to provide comprehensive services for handicapped pre-school children (birth through 8 years of age). The program supports demonstration and outreach projects in an attempt to accomplish this purpose. The Federal strategy is to (1) work cooperatively with States, through public and private non-profit agencies, (2) demonstrate a wide range of educational, therapeutic and coordinated social services in order to help establish competent State and local programs. Projects are expected to demonstrate the highest quality of available early education practices for handicapped children.

The following project strategies are used to facilitate the success of this program:

1/ thru 4/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973, were authorized for Part C, EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

- Demonstration projects which are projects designed to develop service models based upon current outstanding practices.
- Outreach Projects which are projects designed to disseminate model programs for replication.
- Validated Model Projects which are existing projects that have met USOE standards of excellence.

In an effort to disseminate high quality information and to develop effective management practices contracts are awarded to provide technical assistance to projects and to those States which need help in developing State early childhood plans. Grants are awarded to SEAs to coordinate activities for the development of these State plans.

Program Operations:

This program authorized under Part C, Section 623, of the Education of the Handicapped Act provides grants and contracts annually on the basis of national competition; each model demonstration is approved for a three-year period, but receives second and third year funding on the basis of successful performance and availability of funds. Special one year demonstration grants are awarded to sites to implement validated model projects. Outreach projects are funded on a one-year basis. The demonstration models developed under this program include the following components:

- Developing and demonstrating (1) services for young children with handicaps; and (2) assessment procedures for evaluating the progress of children and of the program's success.
- Meeting the needs of parents and family members for counseling and emotional support, information, opportunity for observation, practice, home carryover and involvement in project planning and evaluation.
- Provisions of inservice training to increase volunteer, paraprofessional and professional staff effectiveness.
- Coordination with other agencies, especially the public school.
- Dissemination of information to professionals and to the general public concerning comprehensive programming for young children with handicaps.

Program Scope:

According to program data, approximately 1,000,000 preschool children (0-8 years of age) have handicapping conditions. Approximately 30 percent of these children are being served in varying degrees through demonstration and outreach projects, Head Start and day care programs, public education day programs and through State-supported activities.

This capacity building program will complement the main service efforts required of States and LEA's under P.L. 94-142 by developing more effective models of preschool interventions. This strategy is implemented through the following types of projects: Model projects, which combine the features of outreach and validated models with emphasis placed on dissemination activities and lower operating costs; technical assistance projects, which aid in needs assessment, program management, self evaluation and packaging of the models. State grants provide support in the implementation of statewide plans to provide appropriate educational services to all pre-school handicapped children in accordance with the provisions of P.L. 94-142. Experimental projects develop new ideas for education of young handicapped children and test the effectiveness of these new approaches.

During FY 78 this program supported approximately 213 projects. Projects funded were: 178 new and continuing demonstration projects; 2 continuing technical assistance projects; 29 State implementation projects; and 4 new experimental projects. The purpose of these projects is to promote service models of early identification and intervention for unserved infants and severely handicapped preschool children, to package and disseminate materials, to expand and improve the quality of demonstration projects and to further encourage implementation of validated models.

It is anticipated that the FY 78 appropriation (which will be spent in FY 79) will fund 227 projects: 71 new awards and 156 non-competing continuations. It is estimated that there will be 186 service demonstration models; 2 technical assistance centers; 30 state implementation grants; 5 BEH/OCD collaborative projects; and 4 experimental projects.

Program Effectiveness and Progress:

FY 75 program data of the direct impact through the demonstration and outreach activities indicated:

- 9,936 children received direct services through demonstration projects.

- o 17,907 parents were served through project activities.
- o 39,023 personnel were trained to work with the handicapped child.
- o 33,394 children were served in projects developed as a result of HCEEP assistance.
- o 899 projects/components were replicated.

A formal evaluation of Section 623 was conducted by Battelle Columbus Laboratories from September 1973 to June 1976. Analysis indicated a positive program impact in the personal-social, adaptive, cognitive, and communications growth areas (with the greatest impact on "Personal-Social development"). Of all handicap groups, educable mentally retarded appeared to show the greatest overall gain, as did children with longer treatment periods. For all handicap groups, there was no significant impact on motor development.

Projects that had medium child-staff ratios (i.e., 4.8 to 6.8:1) that were home-based (as contrasted with center-based) and that had developed and used their own curriculum materials appeared to have the greatest impact on handicapped children.

A follow-up study to determine where graduates of these projects were placed indicated that about two-thirds of the graduates were placed in regular school classes or regular school classes with ancillary special education services. Three-quarters of the graduates studied went to public schools.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1. Bureau of Education for the Handicapped programmatic data.

2. "Evaluation of the Handicapped Children's Early Education Program," Battelle Memorial Institute. Completed June 1976.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Severely Handicapped Projects

Legislation: P.L. 91-230, Part C, Section 624.

Expiration Date: September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1974	1/	$ 2,247,000
	1975	2/	2,826,000
	1976	2/	3,250,000
	1977	3/	5,000,000
	1978	3/	5,000,000
	1979	3/	5,000,000

Program Goals and Objectives:

The goal of this program is to establish and promote activities to meet the educational and training needs of severely handicapped children. Demonstration projects funded under this program are designed to develop and refine identification, screening, diagnostic, and prescriptive procedures; develop, demonstrate, and refine model curriculum, methodology, and educational materials; and package and disseminate model projects and products such as curriculum guides and educational materials.

The ultimate educational and training goal for severely handicapped children is to provide appropriate self-development experiences to this population. These experiences are designed with the objective of helping the severely handicapped reach their maximum potential of developing into self sufficient individuals and to reduce their need for institutional care.

1/ Funds in 1974 derived from Part C, Section 621 (Regional Resource Centers), Section 623 (Early Childhood Projects), and Part F (Media Services and Captioned Films). Total authorization for Part C in 1974 was $66,500,000; for Part F, $20,000,000.

2/ Funds in 1975 and 1976 derived from Part C, Section 621 (Regional Resource Centers), and Section 623 (Early Childhood Projects).

3/ Funds in 1977, 1978, and 1979 are authorized under Part C, Section 621.

This program is a major vehicle for the implementation of P.L. 94-142. Therefore, the Federal strategy is to eventually cover all States or sparsely populated multi-State regions with demonstrations appropriate to statewide needs.

Expected strategies in FY 78 will be to:

- o Fund smaller projects as contrasted with large, highly funded ones. This will increase the geographical coverage and support readily adaptable and replicable validated programs.
- o Fund outreach projects so that (1) validated model projects and their components can be replicated and (2) technical assistance to new projects can be made available.

Program Operations:

To accomplish the objectives of this program, contracts are awarded competitively on a 1-year basis, with continuation funding for a second and third year based upon the project's effectiveness, replicability, and availability of funds. Eligible contractees are State departments of education, intermediate or local education agencies, institutions of higher education, and other public or nonprofit private agencies.

Program Scope:

Program data (FY 77) indicate that approximately 366,200 severely handicapped children receive some services from Federal, State and private sources. Program staff estimate that there are 1,404,948 severely handicapped children (ages 0-19) in the Nation. Of these children, 465,000 are severely or profoundly mentally retarded; and 905,000 are seriously emotionally disturbed (e.g., autistic or schizophrenic) and 34,948 have multiple handicaps.

Comparative statistics prepared by OE indicate that the total number of severely handicapped children needing specialized services has remained fairly constant over the past 6 years. The least severely handicapped are gradually being integrated into less restrictive service environments, but past decreases have been offset by an increase in the number of severely handicapped children identified as needing specialized services.

In FY 77, 43 projects were funded, 18 of these were continuation awards, and 25 were new project awards. Approximately 2,880 severely handicapped children participated in projects funded by this program.

States have historically failed to make educational services available to all severely handicapped children. It is anticipated that P.L. 94-142 will significantly reduce the number of unserved handicapped children. This law requires that if a State receives Federal financial aid under this act the State must provide free, appropriate public education (FAPE) to all handicapped children ages 3-18 by September 1978, and to all children between 3 and 21 by 1980, to the extent allowable by State law or practice. According to Federal law, all States are required to give the second highest priority to providing a FAPE to all severely handicapped children within each disability group.

In fiscal year 1978, 36 projects have been continued at a cost of $4,481,000, while 6 new awards have been made at a cost of $519,000. Four projects will have applied for OE validation as exemplary demonstration models. Approximately 3,120 children will participate in programs during FY 78.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program information.

For further information about program information,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Vocational, Adult, and Postsecondary Programs

Legislation:

P.L. 91-230, Title VI, Part C, Section 625, as amended by P.L. 93-380 -- Regional Education Programs

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 1,000,000	$ 575,000
	1976	1/	2,000,000
	1977	1/	2,000,000
	1978	10,000,000	2,400,000
	1979	12,000,000	2,400,000

Program Goals and Objectives:

The purpose of the program is to enhance the acquisition by handicapped students of skills for successful career competition in the professional, skilled and unskilled labor markets. Institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate non-profit educational agencies are eligible to receive awards for the development and operation of specifically designed or modified programs of vocational, technical, postsecondary, or adult education for deaf or other handicapped persons.

Program Operations:

Grants or contracts may be awarded to institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies. These grants and contracts are awarded for the development and operation of specially designed or modified programs of vocational, technical, postsecondary, or adult education for deaf or other handicapped persons. Priority consideration is given to:

- Programs serving multi-State regions or large population centers.

1/ Such sums as become necessary.

- Programs adapting existing programs of vocational, technical, post-secondary, or adult education to the special needs of handicapped persons.
- Programs designed to serve areas where a need for such services is clearly demonstrated.

Program Scope:

In FY 77 a total of 13 programs were funded, all non-competing continuations. The funding level for the programs was determined by the nature and scope of services provided and the types of handicapping conditions addressed. The total number of handicapped persons served was 2,654, of whom 800 were mentally retarded and 786 were deaf or hard of hearing.

In FY 78, technical assistance projects designed to increase awareness of the need for modifying continuing education programs to benefit the handicapped were continued. All 13 projects from FY 77 were funded. New projects were not supported.

The types of services provided were: tutoring, counseling, recreational, notetaking, interpreting, wheelchair/personnel attending, and adapting instructional media in order to meet the unique needs of the handicapped. It is estimated that of the 2,654 handicapped persons participating, over 95 percent are employed in positions commensurate with their abilities.

Ongoing and Planned Evaluation:

None

Source of Evaluation Data:

Bureau of Education for the Handicapped programmatic information.

For further information about program information,

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Program Name:

Special Education Manpower Development

Legislation:

P.L. 91-230, Title VI, Part D
Sections 631, 632, Training Personnel
for the Education of the Handicapped

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 19,500,000	$ 19,500,000
	1967	29,500,000	24,500,000
	1968	34,000,000	24,500,000
	1969	37,500,000	29,000,000
	1970	57,000,000	35,610,000
	1971 1/		32,600,000
	1972 2/		34,645,000
	1973 3/		39,660,000
	1974 4/		39,615,000
	1975	45,000,000	37,700,000
	1976	52,000,000	40,375,000
	1977	50,000,000	45,375,000
	1978	75,000,000	45,375,000
	1979	80,000,000	57,687,000

Program Goals and Objectives:

The objective of this program is to ensure an adequate supply of educational personnel competent to deal with the special educational problems of the handicapped. This program provides financial assistance to train special and regular classroom teachers, supervisors, administrators, researchers, teacher educators, speech correctionists, and other special service personnel such as specialists in physical education and recreation, music therapy, and paraprofessionals. Persons trained under this program come from a variety of professional backgrounds. Training is not limited to persons with a background in education.

1/ thru 4/ A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973 was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operations:

In order to accomplish the objectives of this program, the program awards grants to institutions of higher education, State education agencies, and other appropriate nonprofit agencies. Grantees are placed under a block grant system. The block grant system allows greater flexibility in the use of Federal funds than was possible under the previous system of allocating fixed support grants to a fixed stipend level. Thus the new system allows for funding allocations based on various priorities of differential needs such as stipends, faculty salaries, or curriculum development. All awards are made on a 12 month basis and the program is forward funded with the minimum award being $1,000 and the average award approximately $70,000.

Through this program financial assistance is given to individuals for preservice training; i.e., full-time students specializing in special education. Additionally, individuals already in the field can receive support in order to upgrade their skills and technical knowledge about dealing with handicapped children. Related institutional support for faculty salaries associated with special educational training programs and for administrative costs is also provided.

Program Scope:

During FY 77 the program provided pre-service training for 8,034 special educators at a cost of $24,350,000 and in-service training for 11,230 special educators and 15,313 regular educators. In FY 78 the program provided pre-service training for 6,179 special educators and in-service training for 21,868 special educators and 12,825 regular educators. With FY 78 program funds the following activities were initiated or continued:

1) Preparation of Special Educators:

   - In service/pre service training for education specialists serving handicapped children aged birth through 6 years. Many trainees work with handicapped children in regular educational programs.

   - Train special education personnel to prepare them to serve the severely and multi-handicapped (including emotionally disturbed and autistic) and/or to meet national and regional needs for low incidence target groups. P.L. 94-142 specifies that States must establish priorities which provide appropriate education to the most severely handicapped child, within each disability.

- Train paraprofessionals to effectively assist both special educators and regular classroom teachers.

- Train specialists in physical education or therapeutic recreation to integrate these techniques into a child's overall education program. In many instances these additional types of service are required so that a handicapped child can function in a regular classroom situation at least part of each day.

- Prepare specialists from various interdisciplinary fields such as the health and social sciences to integrate educational information, methodology and practices for the handicapped child.

- Provide training and financial assistance to students who are specialists in handicapping conditions and in-service training to upgrade the skills of special education generalists already in the field.

- Train teachers for vocational and career education for the handicapped.

2) Special Education Training for Regular Education Teachers:

Provide special education training to personnel preparing for regular classroom teaching and administration; and provide inservice training for regular classroom personnel already in the field. Because the legislation specifies that handicapped children be placed in the "least restrictive environment", and because regular classroom personnel will be encountering these children in their classrooms, the need for such training is increasing. These programs may include supportive services from special education personnel who work with handicapped children.

3) Instructional Models:

Three activities are funded which train personnel and which develop new models of instruction for the preparation of personnel who teach the handicapped. The activities are (1) the support and development of post doctoral training programs; (2) the identification and dissemination of cost-effective training models; and (3) effort designed to improve and expand programs that recruit and train parents and other volunteers to work in education programs for the handicapped.

Program Effectiveness and Progress:

Program staff estimates that in order for the educational system to meet its full service need commitment of 500,000 teachers, an additional 240,000 specially trained teachers are needed.

The passage of P.L. 94-142 specifies that handicapped persons be placed in the "least restrictive educational environment." Therefore as children are served under this mandate, an increasing number of regular classroom teachers will be encountering handicapped children. Current emphasis is being placed upon institutions of higher education (IHE) to improve the capability of regular classroom teachers to effectively work with children with handicapping conditions. The training is expected to emphasize:

- o knowledge of the handicapped including attitude and awareness training
- o teaching methodologies used with handicapped children
- o classroom management skills
- o utilization of specialized and ancillary personnel to provide support services

Ongoing and Planned Evaluation Studies:

BEH and OPBE are currently discussing this topic.

Source of Evaluation Data:

Bureau of Education for the Handicapped program information.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Recruitment and Information

Legislation:	Expiration Date:
P.L. 91-230, Title VI, Part D-Section 633, Recruitment of Educational Personnel and Information Dissemination	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968		
	1969	$ 1,000,000	$ 250,000
	1970	1,000,000	475,000
	1971 1/		500,000
	1972 2/		500,000
	1973 3/		664,000
	1974 4/		500,000
	1975	500,000	500,000
	1976	500,000	500,000
	1977	1,000,000	1,000,000
	1978	2,000,000	1,000,000
	1979	2,000,000	1,000,000

Program Goals and Objectives:

This program was designed to encourage people to enter the field of special education, to disseminate information and provide referral services for parents of handicapped children, and to assist them in their attempts to locate appropriate diagnostic and educational programs for their children.

Program Operation:

This program operates by providing non matching grants or contracts to public or nonprofit private agencies, organizations, or institutions with the requirement that such funds be used for:

1/ thru 4/ A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973, was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

- Encouraging students and professional personnel to work in various fields of education of handicapped children and youth through developing and distributing innovative materials to assist in recruiting personnel for such careers, and by publicizing information about existing forms of financial aid which might enable students to pursue such careers.

- Disseminating information about the programs, services, and resources for the education of handicapped children, or providing referral services to parents, teachers, and other persons especially interested in the handicapped.

Program Scope and Effectiveness:

Implementation of the Education for All Handicapped Children Act (P.L. 94-142) has resulted in a significant number of inquiries about education for the handicapped. To promote a greater awareness of the availability of services for the handicapped, the $1 million appropriation in 1978 went to:

- Continue funding 8 local information units to assure that referral and information services are accessible to any and all handicapped children and their parents.

- Conduct three workshops in geographically strategic areas of the country for the purpose of orienting as many people as possible about the functions/responsibilities for all parents who wish to attend and provide training for those parents who may be operating a local unit.

- Develop, produce and distribute information generated by parents to be used by all persons interested in providing services for the handicapped.

- Continue development of information packages for Indians, the disadvantaged, those of limited-English speaking ability, and the geographically isolated.

- Continue operation of the Information Clearinghouse which develops, produces and distributes informational packets on available services for the handicapped. Recipients of this information include the handicapped, parents of the handicapped, or any other persons who may be interested in finding out what is available for the handicapped.

- o Continue to reach a concerned constituency through the Closer Look Report which circulates about 175,000 copies yearly.

Of the 12 projects funded in fiscal year 1978, 3 are new awards and 9 are continuations. The new awards increase the number of local information units from 5 to 8. Those activities continued from FY 77 are: a contract for an information clearinghouse, a contract for three parent workshops, grants to these information units, and a contract to advertise the services of the clearinghouse (media outreach campaign).

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Bureau of the Education for the Handicapped program information.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Innovation and Development

Legislation:

P.L. 91-230, Part E --
Section 641, 642, Research in the
Education of the Handicapped

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	$ 2,000,000	$ 2,000,000
	1966	6,000,000	6,000,000
	1967	9,000,000	8,000,000
	1968	12,000,000	11,100,000
	1969	14,000,000	12,800,000
	1970	18,000,000	13,360,000
	1971	27,000,000	15,300,000
	1972	35,500,000	15,755,000
	1973 1/	45,000,000	9,916,000
	1974 2/		9,916,000
	1975 3/	15,000,000	9,341,000
	1976 4/	20,000,000	11,000,000
	1977	20,000,000	11,000,000
	1978 5/	20,000,000	20,000,000
	1979	22,000,000	20,000,000

Program Goals and Objectives:

Innovation and development activities attempt to improve the effectiveness and efficiency of the educational system and its provisions for handicapped children by supporting the development and validation of new service models, by packaging information in usable form, and by systematically disseminating this information.

1/ thru 4/ In April, 1975, litigation was settled which resulted in the release of $12,550,000 appropriated under the 1973 continuing resolution. Of these funds $3,035,897 is being used in the Innovation and Development program during FY 76, increasing obligations over 1976 apppropriations by that amount. All activities with FY 73/76 monies will be of a one-year nature and were not extended beyond FY 76. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in the General Education Provisions Act.

5/ As of FY 1978 projects previously funded under the Specific Learning Disabilities program are funded under the Innovation and Development program, accounting for the substantial increase in appropriation.

Program Operations:

This program is concerned about improving educational opportunities for handicapped children through support of decision-oriented research and related activities. Support includes grants or contracts for research, surveys, or model demonstrations relating to education of handicapped children. Additionally, grants are made for similar activities relating to physical education or recreation for handicapped children. Activities are integrated in a planned pattern to support teacher training and the special service functions of the total Federal program for handicapped children.

Grants and/or contracts are made to State or local educational agencies, institutions of higher education, and other public or private educational or research agencies and organizations. Awards are made based on national competition. Projects are approved for periods ranging from 1 to 5 years. Generally awards are made for one year with continued funding based on quality performance and availability of funds.

Program Scope:

In FY 78 105 projects were supported; of these 50 were new efforts and 55 were continuations of projects begun in previous years. These projects support the following types of program activities; programs for orthopedically and otherwise health impaired children, hearing impaired children, programs for the mentally retarded, programs for speech impaired, visually impaired, and other programs classified as noncategorical. The largest expenditure was allocated to noncategorical programs. Slightly more than half of the total appropriation supported research activities while the remainder supported demonstration and development efforts.

In addition to the research projects this program supported 52 Specific Learning Disabilities model demonstration projects. These projects were formerly supported under the Specific Learning Disbilities program. The authorization for Part G was not retained in the Education of the Handicapped Amendments of 1977. Continuation of Specific Learning Disabilities model desmonstration centers were transferred to Part E. Of these 52 programs, 27 were new projects and 25 were non-competitive continuation awards. All 52 of these projects supported model desmonstration centers.

During FY 78 the Innovation and Development program will have distributed over 500 products relating to the education of handicapped children and an equal number of publications in professional journals. Validated curriculum materials designed specifically for the speech and hearing impaired and mentally retarded will also be available.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Judy Kairath
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Media Services and Captioned Films

Legislation:

P.L. 91-230, Title VI, Part F-
Instructional Media for the
Handicapped, Sections 652 and 653;
as amended by P.L. 93-380, Section
620

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967	$ 3,000,000	$ 2,800,000
	1968	8,000,000	2,800,000
	1969	8,000,000	4,750,000
	1970	10,000,000	6,500,000
	1971	12,500,000	6,000,000
	1972	15,000,000	6,000,000
	1973	20,000,000	13,000,000
	1974	20,000,000	13,000,000
	1975	18,000,000	13,250,000
	1976	22,000,000	16,250,000 1/
	1977	22,000,000	19,000,000
	1978	24,000,000	19,000,000
	1979	25,000,000	19,000,000

Program Goals and Objectives:

This program supports grants or contracts for the purpose of providing special educational materials to handicapped learners. Educational materials are produced and distributed for use by the handicapped, their parents, actual or potential employers, and other interested persons in order to meet this objective. Program funds are used to caption and distribute films and other visual training media to assist deaf persons and to train persons in the techniques of using educational media for instructing the handicapped. Additionally, media development centers are funded to conduct research for advancing the art of developing appropriate educational media for the handicapped.

1/ In April 1975, litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 Continuing Resolution. Of these funds, $1,012,332 was used in the Media Services and Captioned Films program during fiscal year 1976, increasing obligations over 1976 by that amount.

Program Operations:

To accomplish program objectives, a loan service has been established for captioned films for the deaf and related educational media for the handicapped. Educational materials are made available in the United States for nonprofit purposes to handicapped persons, parents of handicapped persons, and other persons directly involved in activities for the advancement of the handicapped. Activities permissible for this purpose include: the acquisition of films and other educational media for purchase, lease or gift; acquisition by lease or purchase of equipment necessary for the administration of the above. Contracts are provided for the captioning of films and for the distribution of films and other educational media and equipment through State schools for the handicapped and other appropriate agencies which serve as local or regional centers for such distribution. Additionally, grants or contracts provide for research in the use and production of educational and training media. Provisions are made for the distribution of the materials, for utilizing the services and facilities of other governmental agencies and for accepting gifts, contributions, as well as voluntary and uncompensated services of individuals and organizations. Projects are approved for periods of up to 36 months; however, awards are made annually, with renewals funded on the basis of a project's effectiveness, the replicability of its elements and availability of funds.

Program Scope:

In FY 77 Educational Media and Materials Centers were funded for the severely handicapped and the hearing impaired. The legislatively mandated centers provided support for the design, adaptation, development and production of media and materials geared to the unique learning problems of these populations. Eleven awards were made to ensure that products developed for the handicapped were distributed to the consumers and 31 grants were awarded to provide for research, development, and production in the utilization of educational technology to further advance this field. In addition, Captioned Films distributed to deaf adults and to schools and classes for the deaf reached approximately 4,000,000 deaf persons of all ages. Captioned television news reached an estimated 6 million persons daily per broadcast from over 140 stations including American Samoa. During FY 78 the following types of activities were supported under this program:

- Educational Media and Materials Centers
- Captioned Films for the Deaf
- Captioned Television and Telecommunications
- Marketing and Implementation Activities
- Recordings for the blind
- National Theatre of the Deaf
- Grants for the Development of Educational Technology

During FY 78 this program provided approximately the same level of program activities as in FY 77. A total of 148 awards were made to support:

1) Educational Media and Materials Centers: These centers which were first funded in FY 77 in response to legislative mandate, were continued. Emphasis was on the systematic delivery of educational technology to special populations through the design and/or adaptation, development, and production of appropriate educational materials. The centers also provided training in the selection and use of these materials and promoted the utilization of materials available for circulation.

2) Marketing and Implementation Strategy: 35 awards were made to continue the development of a marketing and implementation program to assure that models of curricula and materials designed for the handicapped are widely distributed among handicapped consumers. This activity is expected to have helped promote testing and development of promising prototypes of educational devices for production models.

   The dissemination of Optacons for the blind were continued. This is a device, developed with Federal funds, to enable blind persons to read print. The production of custom-made tape copies of textbooks for distribution to blind elementary and high school students was also continued.

3) Captioning and Recording: A total of 80 awards were made to continue the adaptation, development, production and distribution of devices incorporating the most recent technologial and telecommunicative advancements in television and recording. The program captions programs for the deaf and develops new television programming for the handicapped, and develops educational programming for parents of the handicapped. Support for the production of recordings for the blind and print-handicapped was continued.

4) National Theatre of the Deaf: Support continued for the National Theatre of the Deaf. This Theatre serves as a talent center for activities in theatre arts, providing vocational, educational, cultural and social enrichment for the deaf.

5) Grants Program for Media Research and Development: An estimated 30 awards were made. Activities focus on research to identify and meet the full range of special needs of the handicapped relative to educational materials and technology. Included are demonstrations of new or improved methods, approaches, or techniques which are designed to assist handicapped individuals adjust to their disability. Additionally, the creation or adaptation of media and technology to aid the handicapped are supported by this program. The media or technology are designed for use by handicapped persons, their parents, actual or potential employers, and others who are involved with the handicapped.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program data.

For further information about program infomration,

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(202) 245-2381

For further information about studies of program effectiveness,

Contact: Judy Kairath
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Studies

Legislation: Expiration Date:

P.L. 94-142, Section 618 Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	1/	$ 1,735,000
	1978	1/	2,300,000
	1979	1/	2,300,000

Program Goals and Objectives:

The purpose of this program is to measure and evaluate the provision by States to all handicapped children of a free, appropriate public education as required by the Education of All Handicapped Children Act of 1975, P.L. 94-142. Section 618 mandates that evaluation activities be undertaken. Studies conducted under this program will provide the basis for a comprehensive, reliable and valid information system pertaining to the provisions in this law. Activities completed by this program will enable the Commissioner to meet legislative requirements to assess the implementation, impact, and effectiveness of P.L. 94-142. This should better enable the Federal Government to provide technical assistance to promote accountability by the State and local education agencies. Since the Commissioner must report to Congress annually on the progress made toward meeting the full educational opportunities goal specified in P.L. 94-142, these studies will provide a foundation for that report.

Program Operations:

The Commissioner shall conduct directly, or by grant or contract studies to accomplish the goal of this program.

Program Scope:

Studies funded focus around the following questions:

- o Are we serving the intended beneficiaries?
- o Where are the beneficiaries being served?

1/ Such sums as become necessary.

- What services are being provided to children?
- Do services provided meet the intent of the law?
- What administrative mechanisms are in place?
- What are the consequences of implementing the law?

Studies underway in FY 78 include the following:

1. Clarification and refinement of terminology.
2. Assessment of capabilities, needs, and compatability of current reporting practices.
3. Validation and projection of child count and manpower needs.
4. Development of methods for State and local education agencies to evaluate special education programs.
5. Evaluation of implementation, impact and effectiveness of processes such as due process, individual education plans, nondiscriminatory testing and provision of services in the least restrictive environment.

Specific studies include: "Longitudinal Study of Progress in the Implementation of P.L. 94-142"; "Case Study of the Implementation of Decision Rules for Determining LRE."

Ongoing and Planned Evaluation:

None

Sources of Evaluation Data:

Bureau of Education of the Handicapped program data.

For further information about program information,

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For further information about studies of program effectiveness,

Contact: Judy Kairath
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J. EVALUATION OF PROGRAMS FOR CAREER, OCCUPATIONAL, AND ADULT EDUCATION

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Programs for the Disadvantaged

Legislation:

Vocational Education Act of 1963 as amended 1968, Part A, Section 102 (b) and amended by Public Law 94-4822 Part A, subpart 4

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 40,000,000	-0-
	1970	40,000,000	$ 20,000,000
	1971	50,000,000	20,000,000
	1972	60,000,000	20,000,000
	1973	60,000,000	20,000,000
	1974	60,000,000	20,000,000
	1975	60,000,000	20,000,000
	1976	60,000,000	20,000,000
	1977	30,000,000	20,000,000
	1978	35,000,000	20,000,000
	1979	40,000,000	20,000,000

Program Goals and Objectives:

Under Part A, subpart 4, funds are provided to assist States in conducting special programs for disadvantaged persons with academic or economic handicaps who require special services and assistance in order to succeed in regular vocational education programs. Funds shall be allocated within the State to areas of high concentration of youth unemployment and school dropouts. Services and programs may also be provided to eligible students in nonprofit private schools.

Program Operation:

Grants are allocated to the States by formula with no matching required. Special services and programs are provided so they can be mainstreamed into regular vocational programs. The target population includes: persons of minority ethnic backgrounds, inmates in correctional institutions, dropouts, persons in rurally isolated areas, persons in inner cities, migrants, persons with limited-English-speaking ability, the undereducated, and juvenile delinquents. Special services and programs are provided these youth and adults to encourage them to stay in school to acquire the academic and occupational skills needed for successful employment or to continue to pursue their career preparation.

Special services include specially trained teachers in remedial and bilingual specialties, staff aides, additional counseling services, facilities accessible to a high concentration of these students, and instructional materials and equipment best suited to their needs and abilities.

Some of the areas where these funds have been expended are those where English is a second language, rural depressed communities, low-cost housing developments in the inner city, correctional institutions, and off-reservation locations with a predominance of American Indians.

Program Scope:

States reported 205,197 disadvantaged students received services or participated in programs designed to meet their needs in FY 1976. Of these students, 121,192 were at the secondary level, 30,829 were postsecondary, and 53,896 were at the adult level.

Program Effectiveness and Progress:

State reports do not describe the kinds of services available, the effectiveness of such services in improving student retention and completion in occupational training programs or other impact data.

Findings from the assessment of the disadvantaged set aside under State grant funds and the special needs categorical program are reported under the State grant evaluation. States generally used Special Needs funds for specific projects. Some States used this money for populations they do not ordinarily serve, such as correctional inmates and school dropouts.

Ongoing and Planned Evaluation Studies:

NIE will continue to examine vocational services for the disadvantaged under their mandated study.

Sources of Evaluation Data:

Annual State Vocational Education Reports

State Advisory Committee Reports

Assessment of Vocational Education Students for Disadvantaged Students, Olympus Research Corporation, December 1976.

For further information about program operation,

Contact: Aleta Ahlstrom
(202) 245-8174

For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Indian Tribes and Indian Organizations

Legislation:

Vocational Education Act of 1963
as amended by P.L. 94-482, Title I,
Part A, Section 103 (a) (B) (iii)

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1978	$ 8,360,000	$ 5,437,682
	1979	9,789,000	5,437,777

Program Goals and Objectives:

Under this program, the Commissioner is authorized to award contracts to Indian tribal organizations and Indian tribes eligible to contract with the Secretary of the Interior for the administration of programs under the Indian Self-Determination and Education Assistance Act of 1975 or under the Act of April 16, 1934.

The tribal organization will plan, conduct and administer the vocational education programs. Awards will not exceed three fiscal years. Requests for continuation beyond the project period are considered competitively with all other applications.

Program Operation and Scope:

About 20 contracts are now in negotiation for award to tribal organizations and specific information was not available at the time this report was prepared. Any type of vocational education activity authorized under the Act may be conducted by the Indian tribal organization.

Program Effectiveness and Progress:

The contracts have not been awarded.

1/ P.L. 94-482 authorizes a one percent set-aside of funds from Subparts 2 and 3 (basic grant and program improvement) to support Indian projects.

Ongoing and Planned Studies:

An evaluation is mandated under the Vocational Technical Amendments (P.L. 95-40), Section 103.

Sources of Evaluation Data:

None

For further information about program operation,

Contact: Aleta Ahlstrom
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For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Basic Grants to States

Legislation	Expiration Date
Vocational Education Act of 1963 as amended, 1968, Part B, and amended by P.L. 94-482, Part A, subparts 2 and 3	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1965	$156,641,000	$156,446,000
	1966	209,741,000	209,741,000
	1967	252,491,000	248,216,000
	1968	252,491,000	249,300,000
	1969	314,500,000	248,316,000
	1970	503,500,000	300,336,000
	1971	602,500,000	315,302,000
	1972	602,500,000	376,682,000
	1973	504,000,000	376,682,000
	1974	504,000,000	405,347,000
	1975	504,000,000	420,978,000
	1976	504,000,000	415,529,100
	1977	450,000,000	441,382,275
	1978	880,000,000	537,833,000 2/
	1979	1,030,000,000	537,833,000

Program Goals and Objectives

This legislation assists States to improve planning in the use of all resources available to them for vocational education programs. It authorizes Federal grants to States for the following purposes: (1) to extend, improve, and, where necessary, maintain existing programs of vocational education; (2) to develop new programs of vocational education; (3) to develop and administer vocational programs so as to eliminate sex discrimination and sex stereotyping and furnish equal education opportunity in vocational education to persons of

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1/ This does not include the permanent authorization of $7.1 million apportioned to the States each year under the Smith-Hughes Act.

2/ Includes basic grants and budget for program improvement and supportive services, under P.L. 94-482.

both sexes and (4) to provide part-time employment for youths who need the earnings to continue their vocational training on a full-time basis.

Grants to the States may be used in accordance with five-year State plans and annual plans for a variety of purposes cited under Subpart Two. Work study and cooperative education programs, former categorial programs, were consolidated with the basic grant program.

Under Subpart Three, grants assist States in improving their vocational programs and providing supportive services. Funding categories include: research programs, exemplary and innovative programs; curriculum development, guidance and counseling services, pre-and in-service training; grants to overcome sex bias and costs of supervision and administration of vocational education programs.

Vocational funds are appropriated on an advance basis to enable States and local school officials to plan efficiently.

Program Operation

Formula grants assist States in conducting vocational education programs for persons of all ages to assure access to vocational training programs of high quality. States are required to set aside 15 percent of the allotments for post-secondary and adult programs. They are also required to set aside 10 percent for vocational education programs for handicapped students and 20 percent for disadvantaged students, including persons of limited English-speaking ability. Set asides for the handicapped and disadvantaged populations specify that the States are to use the funds to the maximum extent possible to assist these students in participating in regular vocational education programs. States are required to match the basic grant, the set aside funds, and the funds used for State administration.

Program Scope

About 5 billion dollars from Federal, State and local sources were expended for vocational education in FY 1976, an increase of 16.8 per cent over FY 1975. Of this total, $543 million was Federal money. This represents an overmatch of States to Federal dollars of over 8 to 1, up from 5.5 in 1971 and 2.4 to 1 in 1966.

States reported that 15,133,322 students were enrolled in vocational education classes in FY 1976. Of these, 8,860,947 were at the secondary level; 2,302,800, postsecondary; and 4,069,575, adult. (FY 1977 data were not available at the time this report was prepared.)

Enrollments of disadvantaged and handicapped students were as follows:

Disadvantaged

Secondary	1,217,567
Postsecondary	242,395
Adult	413,449
Total	1,873,411

Handicapped

Secondary	203,647
Postsecondary	38,138
Adult	42,280
Total	284,067

Program data at the Federal level are generally limited to enrollment and expenditure data from required State plans and annual reports submitted by State education agencies. GAO and program monitoring and evaluation studies document the difficulties of the data. There is no established procedure for the development of response material for specific data requirements which are not included in the basic reporting system. Plans are underway for a new vocational education data system as mandated by P.L. 94-482. This system is expected to be operational by FY 1979.

States also report total enrollments for all programs by race or ethnic origin, although three States and one territory did not report these data for FY 1976. While States report total numbers of females enrolled by sex and ethnic origin, these data lack sufficient detail to be useful for analytic purposes.

	Total	Secondary	Postsecondary	Other 1/
American Indian or Alaska Native	112,407	67,157	22,[illegible]16	22,834
Black, not of Hispanic origin	2,128,761	1,398,765	252,879	477,117

1/ "Other" includes preparatory, supplemental and apprenticeship programs.

	Total	Secondary	Postsecondary	Other
Asian or Pacific Islander	162,060	84,934	32,907	44,219
Hispanic	729,439	382,447	143,316	203,676
White, not Hispanic	11,105,804	6,337,375	1,689,795	3,078,634

Program Effectiveness and Progress

Studies examining the administrative processes of the vocational delivery system have reported weaknesses which the 1976 Amendments attempt to reduce or eliminate. The new legislation attempts to (1) improve access of special needs groups and to eliminate sex inequities; (2) improve program quality by requiring a more extensive planning process; (3) improve program flexibility and link experimental and research efforts with program improvement; and (4) improve program accountability by requiring monitoring, evaluation and reporting systems. Data are not yet available to assess the impact of the new legislation.

Studies of the effect of participation in vocational education programs have thus far presented inconsistent results. Some studies show increases in earnings and the ability to obtain a job, others do not; some show increased educational achievement, while others show no difference; most studies show vocational students to have a positive opinion regarding the programs they experience. The evidence so far developed is as follows:

Study of Vocational Programs for Disadvantaged Students

A recent study assessed programs for the disadvantaged under the State set aside grant program and Part A, Section 102 (b) providing 100 percent funding of vocational education programs for the disadvantaged. The study involved 23 States, 77 communities, including 55 local education agencies and 22 community college districts. Eighty-four projects were visited, including 62 secondary and 22 postsecondary.

Findings indicate that State and local administrators have difficulty in interpreting the congressional definition of "disadvantaged" because: (1) they see an apparent conflict between the identification of students on an individual basis and the designation of target areas or groups; (2) they cite the existence of allegedly conflicting definitions of "disadvantaged" contained in laws other than the VVocational

Amendments of 1968; and (3) local administrators indicate they are willing to "label" students as disadvantaged. The most common criteria used to identify disadvantaged students were academic, that is, students who are one or more grade levels behind their peers.

The vast majority of the Federal funds were used to hire staff who work directly with students. Only a small portion of funds were used to hire administrative personnel, and the result appeared to be that the program suffers from lack of planning and monitoring at all levels.

The States generally had only one person supervising these programs, and little time was available for planning, monitoring or evaluating programs. In States where education agencies were subdivided into regions, program monitoring and evaluation appeared to be more complete, and program officers were familiar with the programs. Sixteen of the 23 States (70 percent) required local education jurisdictions or schools to submit proposals to the State, according to established guidelines, and funded projects on the basis of the quality of the proposals and the ability of the sponsors to carry out the projects. The other States funded on a block grant formula basis to a local education jurisdiction.

The major constraints in developing programs mentioned by respondents at all levels were: lack of funds, lack of facilities, unwillingness of some instructional personnel to accept disadvantaged students into their classes, the negative image of vocational education, and ambiguity of the term "disadvantaged student."

About 46 percent of the enrollment in high school projects was minority; characteristics information by race and ethnic background was not available for 51 percent of the postsecondary enrollment. Of the known postsecondary-level enrollment, 22 percent were minority and 27 percent white. Women comprised a slightly higher percentage of the total high school enrollment than men; the opposite was true at the postsecondary level. However, characteristics by sex were unavailable for 34 percent of the postsecondary enrollment.

The fact that half of the project directors interviewed did not believe that the students enrolled in their classes were disadvantaged raises serious questions. At the school level, few criteria existed for identifying disadvantaged students and there was a corresponding lack of adequate assessment procedures for determining the conditions which cause school failure.

Nearly half of the secondary enrollment (47 percent) were in world-of-work projects; 47 percent of the postsecondary-level students were enrolled in remedial programs. The latter were often enrolled in skills training programs not funded out of Part B set aside or Section 102(b) funds. In such cases, disadvantaged funds were being used to support students enrolled in regular programs.

Almost half of the high school students were enrolled in work experience programs, indicating that it was not difficult to place disadvantaged students in work situations. However, the vast majority of students enrolled in work experience programs (86 percent) were not receiving skills training in school.

According to the 442 work experience students interviewed, the tasks they were performing on-the-job were in low-skill, low-pay, and high-turnover occupations. For example, 78 percent of the tasks listed in the food service category were waitress, food handlers, busboys and dishwashers; 44 percent of the tasks listed under car maintenance were service station attendant, wash cars, and park cars; 80 percent of the jobs listed under child and hospital care were to take care of patients (give baths and so on) and child care or babysitting.

There are positive outcomes for the programs. Program costs at $395 per enrollee (Federal costs) and $401 per enrollee (combined Federal, State and local) were low. The average completion rate (83 percent) was high. The student participant ratings of the programs were overwhelmingly favorable, and the employer ratings of the programs and their student employees were also favorable. Administrators generally attribute the favorable rating of students to the fact that enrollees do receive attention they have not received elsewhere.

Outcomes for the High School Class of 1972

This study is concerned with the members of the High School Class of 1972, especially for the period between graduation from high school in the early Summer of 1972 and the time of the first follow-up survey, which was conducted approximately 18 months later.

Findings indicate that in contrast to earlier cohorts, relatively large numbers of whites from the Class of 1972 did not go to college. The increasing enrollment trends of blacks continued, bringing the proportion of blacks enrolled in college up to par with that for whites. Owing to increases in population size, the declining enrollment rate did not result in appreciable declines in the actual numbers of students enrolled in colleges, and for those who did not go to college, nearly one-third could be found in special schools, generally vocational or technical in nature.

The labor force participation rates of females was increasing, with greatest involvement on the part of single women, who reached a participation rate of 56% in 1973. At the same time, the participation rates of young people who were enrolled in school were also attaining a rate of 45% in 1973. Of those who were not enrolled in school, ninety percent were in the labor force.

In 1971-72 education expenditures represented slightly more than 8% of the Gross National Product. Educational revenues were continuing to shift away from local sources (51% in 1972-73), and continuing to shift toward greater State-level disbursements (40% in 1972-73), with a small rise in Federal disbursements (under 10% in 1972-73). A noteworthy share of these monies were allocated to vocational education, a share which increased 63% between 1967-68 and 1972-73. Two concomitants to this high national level of educational investment can be observed; first, that the school retention rates were trending upward (748 persons graduated from high school in 1972 for every 1,000 who entered 5th grade); second, the success rates of school bond elections were declining (56.5% in 1972-73).

The study may be considered an effort to determine what has happened to the Class of 1972 since graduation, especially as regards their educational and economic activities. The exploration goes somewhat beyond that objective, to explore the relationship between the characteristics of class members during high school, the families from which they came, the high school education they received, and the later educational and economic characteristics developed by the Class members. The development is presented in three parts: first, a description of post-high school activities and characteristics; second a a series of analyses relating earlier characteristics to later educational and vocational characteristics; and third, a series of analyses relating earlier plans and aspirations to post-high school outcomes.

An Assessment of Vocational Education Programs for Handicapped Students

The study reviewed the operation and administration of the Part B set aside for handicapped students in 25 States, selected randomly with a probability proportionate to total enrollments in the 50 States. Ninety-two projects were visited for the project level assessment. A thousand student and parent interviews was conducted in five of the sample States, 681 with students currently enrolled and 320 with students who had completed projects. A sample of participating and nonparticipating employers were interviewed.

Findings indicate that Part B set asides have resulted in projects which would have never occurred had there been no such legislation. About 93 percent of the funds were used to provide direct services to students. Cost and outcome data were seriously deficient at both the State and local levels. However, according to what data were available, including results of the student, parent and employer interviews, the program appeared to be working well. Costs per student and completer were not excessive and placement rates ranged from 48 to 60 percent for completers. About 33 percent reenrolled in school, and only about 15 percent of the completers were unemployed.

There is little long-term planning at the State or local level. Planning was limited to review of project proposals and decisions as to which proposals would be funded, generally on the basis of the size of school districts and other formulas. Factors which mitigated against planning at the State level were the independence of the local education agencies and the fact that only one person was assigned at the State level to administer the set aside program.

At the project level, vocational and special education staff worked closely together to provide training and services to students. Those vocational staff who worked with handicapped students generally had no special background for working with handicapped students and desired such training. Few examples of individualized instruction were found, except to the extent that "hands on" vocational training was practiced. Although most local administrators indicated that it was the school district policy to integrate the handicapped with regular students, about 70 percent of the students enrolled were in "special" classes. School administrators were often not sure how to mainstream students and retain separate files for auditors and reporting systems. States in Region V appeared to be further along in integrating classes.

One of the most often mentioned constraints limiting the expansion of vocational education programs for the handicapped was the reluctance of teachers in regular classes to accept the handicapped, or the inability of teachers to instruct handicapped students.

Two-thirds of the training provided under the set aside programs was nonskills training, that is, training not intended to prepare students to compete in the open labor market in any given skill, craft or trade. Half of the students enrolled in this type of training were in prevocational training. Others were enrolled in diagnostic centers, mobility training, nongainful home economics, industrial arts, tutoring and sheltered workshop programs. About 12 percent were trainables. Of those enrolled in skills training, the vast majority were in trade and industrial courses, mainly for men. The range of occupational offerings for women was extremely narrow, and was confined mainly to home economics (much of which was not gainful), and health occupations.

In half of the projects included in the project sample, at least some students were referred into work experience programs. Most of the work stations were unskilled work activities and were intended mainly to provide students with "work experience."

Only a few projects conducted a thorough assessment of the educational needs of the handicapped students referred to the program.

The case study interviews indicated that both students and parents expressed extremely favorable attitudes toward the projects in which they or their children were enrolled.

Participating employers expressed favorable attitudes toward the program. Three out of four participating employers rated the performance of handicapped students and/or completers "as good" or "better than" regular workers in each of the eight performance scales. Unlike participating employers, nonparticipating employers expressed the belief that it would be necessary to effect radical changes in their working environments if they were to hire the handicapped.

What is the Role of Federal Assistance for Vocational Education? Report to Congress by the Comptroller General of the United States:

Although expanded vocational opportunities have been made available for the disadvantaged and handicapped, persons with special needs have not been given high priority, the GAO report says. The report further maintains that vocational education programs are not responsive to changes in the labor market, have shown bias against women, and do not provide adequate occupational guidance and job placement assistance. The report is based on a review of programs in seven States.

The report maintains that these States have distributed funds in a variety of ways, many of which do not necessarily result in funds being targeted to geographical areas of need, or providing for the programmatic initiatives called for by law. Some major practices noted were: making funds available to all local education agencies within a State, rather than concentrating funds in selected areas with high needs; making funds available to local agencies without adequately identifying the relative need for the program; and making funds available without considering ability of local agencies to provide their own resources.

Greater attention to systematic, coordinated planning at the national, State and local levels would improve the use of Federal funds, the report suggests. State and local plans reflect compliance rather than planning. Data that would be helpful to planning is unavailable, inadequate or unutilized, the report continues.

Practical Career Guidance, Counseling, and Placement for the Non-College-Bound Student:

This study reviewed data concerned with practical career guidance and counseling for non-college-bound students. The report's findings indicate that women, minority, and disadvantaged students have not obtained sufficient occupational information and assistance in relating their abilities and interests to career options. Furthermore, the overall conclusion drawn was that the guidance and counseling personnel resources generally have not been aligned to provide practical career guidance for non-college-bound students, despite national priorities and allocations of funds. Recognizing the need for realignment of the counseling services for the non-college-bound, the report recommends that (1) guidance and counseling experts provide more specific information and (2) realignment be based on a planning model that includes assessment of the priority of target groups, selection of appropriate strategies, and evaluation of efforts.

A Comparative Study of Proprietary and Non-Proprietary Vocational Training Programs:

A study of 51 proprietary and 14 non-proprietary schools in four cities examined student outcomes in four occupational areas: office, health, computer and technical occupations. About 7,000 students and 5,200 alumni were queried.

Findings indicate that 78 percent of the graduates sought training-related jobs, and three-quarters of these persons found training-related jobs. However, less than 20 percent of the proprietary alumni and only 13 percent of the non-proprietary alumni obtained jobs through school placement service, a surprising result, especially for proprietary schools, since virtually all offer placement assistance. Most graduates indicated satisfaction with their current job status. Of those alumni currently employed, about 34 percent of the proprietary and 12 percent of the non-proprietary group felt that the training was definitely not worth the money.

Cost benefit measures indicate that the investment in vocational training was worthwhile for all occupational groups except the computer trainees in proprietary schools. Non-proprietary school graduates have an advantage over proprietary school graduates in cost-benefit measures and in salary gain when comparing before training to the first job in training. However, non-proprietary alumni overall earned less before training than proprietary graduates. Proprietary and non-proprietary schools differ substantially in their operations and program offerings; however, the students enrolled in both types of schools are very similar in terms of background and motivational characteristics. Most are young high school graduates enrolled in full-time programs with a goal of obtaining full-time jobs. A sizeable proportion of the students (30 percent proprietary and 42 percent non-proprietary) belong to minority ethnic groups. Accredited schools and chain schools surveyed are no more effective in placing graduates than non-accredited and non-chain schools. Cities surveyed include Chicago, Illinois; Atlanta, Georgia; San Francisco, California; and Rochester, New York.

Ongoing and Planned Studies:

An Assessment of Sex Stereotyping and Sex Discrimination in Vocational Programs.

This study, mandated under Section 523 (a) of the Vocational Education Act as amended under Public Law 94-482, calls for three basic tasks. Each are interrelated: (1) review of secondary data to develop baseline information on sex bias in vocational education, (2) review of key documents and literature for purposes of developing hypotheses relating to sex bias in vocational programs, and (3) the collection of primary data by means of assessments at the State, local (local education agency and/or community college district), and school levels.

The study also calls for four basic reports or publications: (1) Interim Report on Secondary Data; (2) Final Report on the Extent of Sex Discrimination and Sex Stereotyping in Vocational Education, and Extent and Quality of Attempts to Reduce or Eliminate Such Inequities, and Recommendations for Further Improvement; (3) Case Studies of Successful Programs in Reducing

Sex Discrimination and Sex Stereotyping in Vocational Education Programs; and (4) Replication Handbook which will provide information on the procedures, measures and instruments which Federal, State and local administrators can use to measure progress in reducing sex bias. The handbook will contain instruments developed for the purposes of the report and explanations of any changes or revisions which should be considered to improve and simplify the process.

An Assessment of Utilization of Vocational Education Act Funds for Facility Construction:

This study will involve a comprehensive national survey of the planning practices and requirements of State and local vocational education agencies as they apply to the planning of vocational facilities and the use of construction funds under the Vocational Education Act. The major objectives are: (1) to identify State and local planning practices which appear to result in the most effective facility-construction programs and the most cost-effective use of Federal funds; (2) to determine whether provisions of current Federal legislation should be changed or expanded to provide State and local agencies with greater latitude in making efficient use of Federal school facility monies; and (3) to prepare a documentation of the capacity of existing vocational education programs provided by the public education system, to serve as a basis for projecting future demand for facilities and needs for Federal funds to support facility construction and equipment acquisition.

State Procedures and Models for Evaluating Vocational Education:

This project was designed to assist State Boards of Vocational Education in complying with the new legislative requirements to evaluate all programs supported with Federal funds. It was to produce models for evaluating three different aspects of a program -- the process, the product in terms of immediate impact on students, and the product in terms of employment outcomes. This project will be terminated early in FY 79. Problems have arisen in accomplishing the work specified under the contract, and the National Center for Vocational Education Research has now begun working on similar approaches to evaluation.

NIE Studies

The NIE has designed a series of studies to meet the congressional mandate under Section 523 (b) of the Vocational Education Act as amended by Public Law 94-482. The studies will focus on the distribution of vocational education funds in terms of services, occupations, target populations, enrollments and policy issues. The studies will also examine compliance issues and an analysis of the means of assessing program quality and effectiveness. Products will include a "fact book" on vocational education nationally and a systematic account of the changes in the vocational education enterprise that can be attributed to the Educational Amendments of 1976. Reports are due to Congress in 1981.

Sources of Evaluation Data:

An Assessment of Vocational Education Programs for the Disadvantaged under Part B and Part A Section 102 (b) of the 1968 Amendments of the Vocational Education Act. Olympus Research Corporation, December 1976.

An Assessment of Vocational Education Programs for the Handicaped Under Part B of the 1968 Amendments to the Vocational Education Act. Olympus Research Corporation, October 1974.

A Vocational Re-Evaluation of the Base Year Survey of the High School Class of 1972 (Part I: Selected Characteristics of the Class of 1972). Educational Testing Service, October 1974.

National Longitudinal Study of the High School Class of 1972. Educational Testing Service, June 1973. (Study under auspices of NCES)

Major City Secondary Education Systems: Class of 1970 Follow-up Survey of Vocational Program Graduates. Educational Systems Research Institute, December 1972.

Practical Career Guidance, Counseling and Placement for the Noncollege-Bound Students. American Institutes for Research, June 1973.

The Vocational Impact Study: Policy Issues and Analytical Problems in Evaluating Vocational Education; A Study of the State Grant Mechanism; and A Study of Duplication, Gaps, and Coordination of Publicly Funded Skill Training Programs in 20 Cities. National Planning Association, October 1972.

A Comparative Study of Proprietary and Non-Proprietary Vocational Training Programs. American Institutes for Research, November 1972.

National Longitudinal Surveys. Survey of Work Experience of Males, 14-24, 1966, and Survey of Work Experience of Young Men, 1968, Center for Human Resources Research, Ohio State University, and U.S. Department of Commerce Bureau of Census, 1966 and 1968, often referred to as the Parnes Study.

A Cost Effectiveness Study of Vocational and Technical Education. Center for Vocational and Technical Education, University of Wisconsin, 1971.

Trends in Vocational Education, OE, June 1970.

Annual State Vocational Education, Reports

Reports from State Advisory Committees

Reports from the National Advisory Committee

What is the Role of Federal Assistance for Vocational Education? Report to Congress by the Comptroller General of the United States. December 31, 1974.

For further information about program operation,

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For further information about program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education -- Programs of National Significance (Program Improvement and Personnel Development)

Legislation:	Expiration Date:
Vocational Education Act of 1963 as amended by P.L. 94-482, Title II, Part B, Subpart 2 1/	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$ 56,000,000	$ 27,153,000 2/
	1978	44,000,000	28,307,000
	1979	51,500,000	10,000,000

Program Goals and Objectives:

The overall goal of Programs of National Significance is to improve the quality of vocational education programs in the States for all persons including the handicapped, females, the disadvantaged, and minorities. Projects are intended to have national applicability and to impact on areas of national concern. They are designed to be readily implemented in vocational education systems by both public and private users. These projects are also intended to: (1) produce information for policy development, (2) develop curriculum materials for new and changing occupations, (3) develop leadership personnel and certify vocational teachers in shortage areas, (4) demonstrate new techniques and services for students, (5) package and disseminate information in usable forms

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1/ The new law consolidates several programs. Three were previously authorized under the Vocational Education Act of 1963 as amended in 1968 -- Research and Training (Part C), Exemplary Programs (Part D), and Curriculum Development (Part I). A fourth, Personnel Training, was authorized originally under the Education Professions Development Act (Part F). The Law explicitly identifies two more activities, Vocational Guidance and Counseling and Overcoming Sex Bias and Stereotyping, for operation at the Federal level. These activities are authorized in Part B, Subpart 2, by reference to Sections 131 through 136 of Part A, Subpart 3, which authorizes them at the State level.

2/ The annual appropriation act states that for vocational education the funds appropriated will become available July 1 of the current fiscal year for expenditure through the following fiscal year.

for special populations, and (6) ensure that information and materials are placed in the hands of vocational education practitioners.

FY 78 has been a transition year during which the program has continued monitoring the many projects initiated earlier under Parts C, D, and I of the Vocational Education Act and under Part F of the Education Professions Development Act. 3/ The program has also initiated new efforts in nationally significant applied research and development; exemplary and innovative programs; curriculum revision; development and dissemination; demonstrations; and personnel training.

In addition the program is responsible for establishing a National Center for Research in Vocational Education, which is chosen every five years. The purpose of the Center is to promote changes and improvement in vocational education by: (1) conducting applied research and development activities, (2) providing leadership development activities for State and local vocational educators, (3) disseminating the results of vocational research and development, (4) maintaining a clearinghouse on research and development projects supported by States and Federal agencies, (5) generating national planning and policy development information, and (6) providing technical assistance in evaluation to State and local agencies.

In order to bring the many activities authorized under Programs of National Significance together with related Federal research and development programs, P.L. 94-482 also authorized the establishment of the Coordinating Committee on Research in Vocational Education. The Committee, which represents the Director of the National Institute of Education, the Commissioner of Education, and the Director of the Fund for the Improvement of Postsecondary Education, has three major objectives: (1) developing a plan for each fiscal year establishing national priorities for the use of funds available to these agencies for research, development, etc.; (2) coordinating the efforts of NIE, OE, and FIPSE in seeking to achieve these priorities in order to avoid duplication of effort; and (3) developing a management information system on the projects funded pursuant to this plan in order to achieve the best possible monitoring and evaluation of these projects and the widest possible dissemination of their results. Under this broad mandate, the Coordinating Committee published a brochure in April 1978. It is designed to inform

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3/ Also included was the Commissioner's discretionary bilingual vocational training program authorized by Section 194(a) of Part J of the Vocational Education Act as added by Section 841(a)(7) of the Education Amendments of 1974 (P.L. 93-380).

prospective grantees and contractors of the programs available to them and is entitled Guide to Federal Funding in Career Education, Education and Work, and Vocational Education.

Program Operations:

Funding for Programs of National Significance is an amount equal to 5 percent of the money appropriated for Basic Grants and for Program Improvement and Supportive Services. From these funds the Commissioner must transfer not less than $3 million nor more than $5 million each fiscal year to the National Occupational Information Coordinating Committee and must support a National Center for Research in Vocational Education. The remaining funds are used primarily for contracts, but in some cases for grants, in order to support research, exemplary and innovative programs, curriculum development, vocational guidance and counseling, vocational education personnel training, and overcoming sex bias and sex stereotyping.

Program contracts, grants, and fellowships are competitively awarded to public organizations, institutions, and agencies; non-profit institutions and agencies; and individuals. Awards are made through annual competitions reflecting selected Federal priorities for that fiscal year. Applications are reviewed by Federal and non-Federal experts in vocational education. Proposed projects may be approved for one year, with some awards being made for up to 18 months. There may also be options to renew for two successive years.

Priority areas for FY 78 were suggested in an advance notice of intended competitive procurements published in the Commerce Business Daily on October 31, 1977. It presented a list of 27 tentative project titles of Requests for Proposals to be issued during FY 78. Among the areas included were guidance; handicapped persons, women, and other special populations; personnel training and re-training; and curriculum conversion and modernization.

Also during FY 78 three broad areas of national priority for FY 79 were identified with the help of the Coordinating Committee on Research in Vocational Education, and a request for comments was published in the Federal Register on Wednesday, March 22, 1978. These three areas are: (1) equal access and opportunity in vocational education for traditionally by-passed and isolated groups such as minority youth, women, and handicapped learners; (2) stimulation of excellence in vocational education programs by improving both content and delivery; and (3) improved utilization of the resources available to vocational education through facilitating coordination in planning and evaluation, stimulating greater diversity in program organization, and developing new relationships among vocational programs, work environments, and local social services. About 100 letters of comments were received from State and local education agencies, junior community colleges, universities, advisory councils, organizations, and individuals. A task force has been set up for each area to review the public comment and recommend specific projects to be carries out in FY 79.

Program Scope:

During FY 78 support was provided for 30 research, developmental, and demonstration projects including the national network of curriculum coordination centers; 55 exemplary vocational education projects, 343 graduate leadership and teacher certification fellowships, and the national center for research in vocational education. Most of the new research, developmental, and demonstration projects resulted from the Requests-for-Proposals based on the list of competitive procurements published in the Commerce Business Daily on October 31, 1977.

There were 12 curriculum development efforts among the 30 new projects mentioned above. These included the conversion of job preparation curriculums prepared for use by the armed services to curriculums usable by schools and colleges. High priority was given to developing, validating, and disseminating materials for new and changing occupations and to improving the quality of instructional materials for teacher or student use in programs serving persons having a handicapping condition or persons with special needs.

Support was continued for a national network of six Curriculum Coordination Centers which are a major resource for diffusion of curriculum materials and assistance to State vocational leaders in maximizing their management of curriculum development, demonstration, and materials dissemination activities. In State reports to the centers, for example, it was revealed that 77 different curriculum products developed by other States and made known regionally by network representatives were adapted or adopted by 36 States at a savings of $2,450,120 in development costs to the States in 1977. Also in that year staff from the centers conducted or served as curriculum consultants in 97 workshops for materials-developers, school administrators, and teachers in vocational schools and colleges. The Northwestern Center provided in-service training to 150 private school personnel on the availability of network services and vocational curriculum development procedures during FY 77.

Support was also continued in FY 78 for 44 exemplary projects in vocational education which had been initiated for a three-year period in FY 76 and for 10 projects initiated in FY 77. Most of these projects are either replicating the

Experience-Based Career Education Model or utilizing its techniques along with occupational cluster or cooperative vocational programs. An in-depth study of 25 of the EBCE demonstration projects revealed that a typical project enrolled 184 students; had developed 152 community resource sites representing 401 different learning stations; employed 1.2 administrators, 2.2 teachers or learning managers, 0.4 counselors and 1.4 community resource specialists; and had incurred 10.3 days of inservice training and technical assistance for 8.9 people.

The personnel development activities supported during FY 78 are authorized in Section 172 as two different programs with different purposes. The first is the Graduate Leadership Development Program under which approximately 1,122 applications were received from institutions and individuals. These were reviewed by nine separate panels. There were originally 40 institutions identified as eligible to receive the graduate students and to be reimbursed $4,000 per student who chose to attend one of these institutions. There were 155 individuals who received awards enabling them to enroll for up to 36 months. These individuals chose to attend only 18 of the 40 eligible institutions, and all of the 18 will have between 5 and 21 students in the Graduate Leadership Program. Among the original 155 recipients of awards, all except 7 States and territories are represented. Of this group approximately 13 percent are representatives of minority groups and 50.3 percent are females.

The second personnel devlopment program is the Vocational Education Certification Fellowship Program. It includes two different groups -- (1) those in business and industry who have needed vocational education skills and who may be trained as teachers and (2) those who are previously certified but unemployed teachers who are surplus in their field of certification but are eligible for re-certification in a field of vocational education teacher shortage. During the current fiscal year 446 applications were received for both categories and were reviewed by eight different panels. There were 188 awards made to individuals, 14 percent minorities and 52 percent female, who are eligible for up to 24 months of training but whose requests average about 14 months. They will attend institutions of their choice which are eligible to receive $2,500 per person and which will have from 1 to 15 of the individuals receiving awards.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Annual program reports prepared by OE's Division of Research and Demonstration, BOAE, on the contract and grant projects supported by funds administered by the Commissioner for Programs of National Significance.

On-site reviews of OE-funded projects, telephone monitoring records, reviews of progress reports, evaluative reviews of final reports of products and findings, and some third-party evaluations of projects.

Assessing Vocational Education Research and Development. National Academy of Sciences. Washington, D.C. October 1976.

Special reports on impact from Curriculum Coordination Centers.

An Evaluation of Vocational Exemplary Projects. Development Associates, Inc., Washington, D.C. 1975.

For further information about program operations,

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For further information about studies of program activities,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Consumer and Homemaking Education

Legislation: Vocational Education Act of 1963, as amended in 1968, Part F, Consumer and Homemaking Education; and amended by P.L. 94-482, Part A, Subpart 5

Expiration Date: September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969		
	1970	$ 25,000,000	$ 15,000,000
	1971	35,000,000	21,250,000
	1972	50,000,000	25,625,000
	1973	50,000,000	25,625,000
	1974	50,000,000	30,994,000
	1975	50,000,000	35,994,000
	1976	50,000,000	40,994,000
	1977	45,000,000	40,994,000
	1978	55,000,000	40,994,000
	1979	65,000,000	33,994,000

Program Goals and Objectives:

The Vocational Education Act of 1963, as amended by the 1976 Amendments, provides formula grants to States for programs and activities in conducting consumer and homemaking education programs. The allotments to States are to be expended solely for:

> Education programs in consumer and homemaking education consisting of instructional programs, services, and activities at all educational levels for the occupation of homemaking including, but not limited to, consumer education, food and nutrition, family living and parenthood education, child development and guidance, housing and home management (including resource management), and clothing and textiles. These programs should (a) encourage participation of both males and females to prepare for combining the roles of homemakers and wage earners, (b) encourage elimination of sex stereotyping in consumer and homemaking education by promoting the development of curriculum materials which deal with increased numbers of women working outside of the home and increased numbers of men assuming homemaking responsibilities

and changing career patterns for women and men. These programs should give consideration to the economic, social and cultural conditions and needs and such courses may include bili instruction. Outreach programs should be encouraged in communities to include designated target populations. Other purposes include: preparation of males and females who have entered or are preparing to enter the work of the home; and the development of ancillary services such as teacher training and supervision; curriculum development, research, program evaluation, special demonstration and experimental programs, development of instructional materials, exemplary projects, provision of equipment, State administration and leadership.

Program Operation:

States reported that 3,515,042 students participated in programs funded during FY 1976. Of these student, 1,361,420 were in depressed areas. About 2,703,469 were in secondary schools; 47,756 were at the postsecondary level; and 783,817 were adults. Of the total enrollment 2,688,807, or 76 percent, were female.

States must use at least one-third of the Federal funds allocated for programs in economically depressed areas or areas with high rates of unemployment. Fifty percent matching is required except in economically depressed areas or areas with high rates of unemployment where matching is 90 percent Federal and 10 percent State and/or local.

Program Effectiveness and Progress:

States report expansion of programs and increased programming for consumer education, nutrition education, parenthood education, child development and growth of enrollments in depressed areas. However, no objective evidence of effectiveness of this program is available.

Ongoing and Planned Studies:

The National Institute of Education is planning a study as mandated under Section 523(b), (1), (f) of the Vocational Education Act as amended by Public Law 94-482.

Sources of Evaluation Data:

Annual State Vocational Education Reports

Descriptive reports submitted by State Departments of Education, State Supervisors of Home Economics Education

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For further information about program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Vocational Education - Cooperative Vocational Education Programs

Legislation	Expiration Date
VEA of 1963, as amended 1968, Part G, as amended by P.L. 94-482	September 30, 1977 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969	$20,000,000	-0-
	1970	35,000,000	$14,000,000
	1971	50,000,000	18,500,000
	1972	75,000,000	19,500,000
	1973	75,000,000	19,500,000
	1974	75,000,000	19,500,000
	1975	75,000,000	19,500,000
	1976	75,000,000	19,500,000
	1977	25,000,000	19,500,000
	1978	-0-	-0-
	1979	-0-	-0-

Program Goals and Objectives

The 1968 Amendments to the Vocational Education Act provide funds, under Part G, to assist States in expanding cooperative work-study programs by providing financial assistance for personnel to coordinate such programs, to provide instruction related to the work experience; to reimburse employers when necessary for certain added costs incurred in providing on-the-job training through work experience; to pay costs for services such as transportation of students or other unusual costs that the individual students may not reasonably be expected to assume while pursuing a cooperative program.

The program was consolidated under the State grant authority under the 1976 amendments to begin in FY 1978.

Program Operations

Formula grants were made to the States to support cooperative education programs which involve arrangements between schools and employers, enabling students to receive vocational instruc-

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1/ States may continue to fund cooperative programs under Basic State grants, but P.L. 94-482 does not extend authority for the categorical set aside.

tion in the school and related on-the-job training through part-time employment.

Priority is given to areas where there is high incidence of student dropouts and youth unemployment. Students must be at least 14 years old and are paid by the employer either a minimum wage or a student-learner rate established by the Department of Labor.

Part G, cooperative vocational education programs, have extended the range of occupations for which training can be offered to such areas as marketing and distribution, business and office, trade and industrial, and health occupations. In addition, there was emphasis on developing cooperative education programs for small communities which cut across several occupational fields in one program setting. Students could prepare for specific areas of gainful employment which were not available previously because of insufficient enrollment or lack of facilities to support specialized vocational programs. Most of the new programs were developed in areas with high rates of school dropouts and youth unemployment.

Program Scope

During FY 1975, States reported 147,572 students as enrolled in cooperative programs under Part G. Of these, an estimated 114,271 were secondary students and 32,755 were postsecondary students. In addition, States fund cooperative education programs under Part B basic grant authority. For example, States reported 463,908 students were enrolled in cooperative programs during FY 1976.

Program Effectiveness and Progress

Cooperative Education programs are effective in providing students with work experience in jobs which are related to their occupational training programs. Cooperative programs also appear to give students some advantage over those who did not participate in work experience programs at the time of the first job after graduation in terms of earnings.

Part II of the Assessment of School-Supervised Work Education Programs completed during the summer of 1976 had two major purposes: (1) to assess the effectiveness of cooperative education programs located in urbans areas, and (2) to determine the post-program experiences of both participants and nonparticipants interviewed in Part I of the study.

The follow-up study consisted of re-interviews with 803 participants in work education programs and a cohort group of 701 nonparticipants who were first interviewed in 1973 during Part I of the study. The Part I participants were enrolled in three types of work programs: (1) specific (or the equivalent of cooperative education programs); (2) dropout prevention (such as work-study); and (3) career exploration.

As can be expected, postsecondary students did significantly better than secondary students in terms of earnings and job satisfaction. Both groups experienced about the same amount of employment stability, based on the average number of weeks worked over the 52 weeks prior to the second interview.

Students participating in secondary programs were more likely to be working if they were males. At the postsecondary level there was no difference found in the percentage of males and females holding jobs.

Postsecondary students who were members of minority groups reported current jobs more often than nonminorities; the opposite was true at the secondary level.

Within all programs, men earned more per week on the average than women. Both participating and nonparticipating students were stratified by program type, general occupation classification (both current and school job), and finally by sex. The findings reveal that men start with an earnings advantage while still in their training programs, regardless of general areas of occupational experience.

In all comparisons involving weekly earnings, the great impact of participaton in work education programs appeared to be on the postsecondary programs. Whites and blacks and men and women who participated in such programs out-earned comparison group cohorts in all cases.

The trends identified in the follow-up study were validated for those responding to the National Longitudinal Followup of the Class of 1972. Specifically, males earned more than females and whites earned more than blacks.

To measure satisfaction with jobs currently held, those interviewed were asked a series of questions focusing on satisfaction with pay and fringe benefits, working conditions, challenge and opportunities. Measures of job satisfaction with current jobs suggest the following: Participating students in postsecondary specific occupations programs expressed more positive attitudes toward their jobs than their nonparticipating counterparts. The least satisfied group on the basis of the average of their job satisfaction was those who participated in secondary dropout prevention programs. Whites and blacks did not differ significantly in their expressed levels of job satisfaction. Men and women also expressed about similar levels of satisfaction with their current jobs across educational levels and types of programs.

An examination of 30 urban cooperative programs indicates that high percentages of minorities participate in work education programs which differ from the traditional cooperative programs in which class work is closely related to the student jobs. In urban areas, most programs included students receiving classroom instruction in general occupational areas and working in a variety of different jobs within occupational clusters. Others were enrolled in diversified programs in which students received world-of-work training in the classroom and were placed in a variety of jobs, not necessarily related to their majors in school or within any specific occupational cluster. While some diversified programs appeared to be income maintenance programs, the better ones provided opportunities for career exploration.

Outcomes for the diversified programs were lower than those for traditional cooperative programs. For example, completion rates were lower, fewer of the students interviewed said that their jobs were related to career interests, fewer students were likely to recommend the program to friends. However, more students with low grades are looking for full-time jobs than those with A and B grades.

The diversified programs are new in concept. There is a general consensus that they can be strengthened with staff inservice training programs. The better programs provide jobs in business or industrial concerns such as advertising, aerospace and banking in which disadvantaged students might not ordinarily seek jobs.

The "Assessment of School-Supervised Work Education Programs, Part I" examined the different configurations of work education programs to determine the degree to which different types of programs are meeting their intended objectives and to suggest ways in which different programs might be modified or expanded. A stratified random sample of 50 work education sites was drawn from 500 representative programs using three variables as the basis for the stratification. The 50 were distributed as follows on the basis of those variables determined as most relevant:

Education level: Secondary (36), postsecondary (14)

Primary purpose: Specific occupational training (30) 1/, dropout prevention (14), career exploration (6)

Industrial setting: Farming region (15), bedroom community (11), single industry area (9), major industrial/business career (15)

According to the study findings from Part I, cooperative education programs appear to be generating the most enthusiasm among students, employers, and school officials because they meet the expressed needs and objectives of all groups. Students feel that cooperative education programs are providing them with valuable job training. Employers feel that they are getting their money's worth from student workers and are contributing to their profession. School administrators and teachers are satisfied with the learning experiences and job placements after the training period.

Cooperative education programs are more likely than other types of programs to: (1) provide students with job-related instruction in school; (2) provide job placement services and have a high rate of job-related placements; (3) help students decide on an occupation; and (4) provide students with jobs that fit into their career plans, offering a high level of responsibility and a high degree of satisfaction.

But there are some negative findings compared with other types of programs. Cooperative programs are (1) more apt to discriminate against students on the basis of student attitude; (2) less effective in reducing student absenteeism; (3) more apt to interfere with students' other activities in school and out; (4) more apt to segregate job placements by sex, and (5) more likely to restrict their offerings to students with rather conforming middle-class behaviors.

Effectiveness comparisons were based on standard follow-up information provided by the schools. In addition, a brief survey of employers was conducted to obtain their attitudes about graduates of cooperative programs versus graduates of non-cooperative programs. Although school data indicated no obvious difference in the work experience of the two groups, the employer survey showed a definite difference. The sample of employers favored graduates of co-op programs (59 percent over those of non-cop), (4 percent non-co-op with 37 percent indicating no difference). School data indicated that the co-op students have

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1/ Specific occupational training programs are generally those funded under Part G. Findings relating to work-study (or dropout prevention) programs were funded under Part H of the 1968 Amendments.

little difficulty finding jobs and that a substantial percentage of co-op students (46 percent) were able to continue full-time employment with their co-op employer.

Ongoing and Planned Evaluation Studies

None

Sources of Evaluation Data

An Assessment of School-Supervised Work Education Programs. Part II, Olympus Research Corporation, March 1976.

An Assessment of School-Supervised Work Education Programs. Part I, Systems Development Corporation, October 1973.

Cost Effectiveness of Selected Cooperative Vocational Education Programs as Compared with Vocational Programs without Cooperative Component. Battelle Columbus Laboratories, June 1973.

Annual State Vocational Education Reports.

State Advisory Committee Reports.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Vocational Education - Work Study Programs

Legislation	Expiration Date
VEA of 1963, as amended 1968, Part H	September 30, 1977 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	$ 30,000,000	$ 5,000,000
	1966	50,000,000	25,000,000
	1967	35,000,000	10,000,000
	1968	35,000,000	10,000,000
	1969	35,000,000	-0-
	1970	35,000,000	4,250,000
	1971	45,000,000	5,500,000
	1972	55,000,000	6,000,000
	1973	55,000,000	6,000,000
	1974	55,000,000	7,849,000
	1975	55,000,000	9,849,000
	1976	55,000,000	9,849,000
	1977	15,000,000	9,849,000
	1978	-0-	-0-
	1979	-0-	-0-

Program Goals and Objectives

As mandated under Part H, a work-study program shall be administered by the local education agency and made reasonably available (to the extent of available funds) to all youths in the area served by such agency who are able to meet the following requirements:

> (1) Those who have been accepted for enrollment as full-time students in a vocational education program which meets the standards prescribed by the State Board and the local education agency for vocational education programs assisted under this title--or, in the case of students already enrolled in such a program--Those who are in good standing and in full-time attendance, (2) Those in need of the earnings from such employment to commence or continue their vocational education program, and (3) Those at least 15 years of age and less than 21 years of age at the commencement of employment, and capable, in the opinion of the appropriate school authorities, of maintaining good standing in the vocational education program while employed under the work-study program;

1/ States may continue to fund work-study programs under basic State grants, but P.L. 94-482 does not extend authority for this categorical setaside.

(4) provided that no student shall be employed under such work-study program for more than 15 hours in any week in which classes in which he is enrolled are in session, or for compensation which exceeds $45 in any month or $350 in any academic year or its equivalent, unless the student is attending a school which is not within reasonable commuting distance from his home, in which case his compensation may not exceed $60 in any month, or $500 in any academic year or its equivalent; (5) provided that employment under such work-study program shall be for the local education agency or for some other public agency or institution. Agencies must also provide for employment for students other than those funded under this title.

Program Operation

Formula grants are allocated to the States for work-study programs to assist economically disadvantaged full-time vocational educational students, ages 15-20, to remain in school. The programs provide part-time employment with public employers. Priority is given to areas having high dropout rates and high youth unemployment. Funds are used for the administration of the program and for compensation to students by the local educational agencies or other public agencies or institutions. Funds are allocated on a matching basis -- 80 percent Federal and 20 percent State and local.

Work-study is essentially an income maintenance program for economically deprived youth who are in school. Only about 2 percent of the Federal funds is used for administration; nearly all funds, about 99 percent, go directly to needy students in the form of wages for a public service job.

The 1976 Amendments continues to provide authority for States funding work-study programs, but consolidates the various categorical including Part H, to give the States greater flexibility in planning and program operation.

Program Scope

During FY 76 States reported 53,355 students were employed in part-time jobs and received compensation under Part H. Of these, 39,645 were secondary and 32,755 postsecondary students.

Most of the recipients are secondary students. Since compensation cannot exceed $45 a month, most postsecondary students must look elsewhere for the financial support they need.

Typical positions held by work-study students included: food service worker, clerk typist, hospital aide, printing assistant, drafting assistant, furniture repairer, and small-engine repairer.

Program Effectiveness and Progress

Work-study programs appear to meet their basic objective, which is to keep students in school by providing them with financial assistance, according to the "Assessment of School-Supervised Work Education" study. (The study is further described in the section relating to Cooperative Education Programs.) After completing training, most of the men go into well paying ($149 per week average) jobs. Women go into service and clerical jobs which pay less ($95 per week average).

In the Part II study, work-study students indicate that they continue to earn slightly less, be less satisfied with their jobs and have slightly less employment stability than those who participated in single occupation (or cooperative) programs. The difference in earnings between secondary students in cooperative education and work-study students can probably be attributed to the fact that the latter are more likely to have jobs after high school in lower paying clerical jobs and service occupations than those participating in cooperative programs. Results from an analysis of similar students participating in work education programs in the National Longitudinal Study of the Class of 1972 support these findings.

Part I of the study described above indicates that while many work-study programs have additional goals such as improving the disadvantaged youth's attitudes toward school and work, very little attempt is made to offer students related classwork or intensive vocational training. Students are placed primarily in unskilled blue collar and clerical jobs. Only 6 percent of the cooperative education students were in the lowest category of the job responsibility scale whereas 75 percent of the work-study education students were in this category.

Analysis of pay factors indicate that students in work-study programs are more likely than students in any other type of program to earn at best the minimum wage. Work-study students work primarily for money, as compared with cooperative education students who indicated that getting occupational training experience was more important than pay.

Ongoing and Planned Evaluation Studies

None

Sources of Evaluation Data

An Assessment of School-Supervised Work Education Programs, Part II, Olympus Research Corporation, March 1976

An Assessment of School-Supervised Work Education Programs, Part I, Systems Development Corporation, September 1973

Annual State Vocational Education Reports

State Advisory Council Reports

For further information about program operation,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Bilingual Vocational Training

Legislation:	Expiration Date:
Vocational Education Act of 1963, as amended by P.L. 93-380 Part J, 1974; as amended by P.L. 94-482, Part B, subpart 3	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$17,500,000	$ 2,800,000
	1976	17,500,000	2,800,000
	1977	10,000,000	2,800,000
	1978	60,000,000	2,800,000
	1979	70,000,000	2,800,000

Program Goals and Objectives:

Grants and contracts are awarded up to one year to provide bilingual vocational training for persons who are unemployed or underemployed and who are unable to profit from regular vocational training. Three types of activities are funded under this authority: bilingual vocational training, bilingual instructor training and the development of bilingual instructional materials, methods and techniques. Bilingual vocational training programs have been funded under Part J authorized by the 1974 Amendments.

The target population for the bilingual vocational training program are those with limited-English-speaking ability who have completed or left elementary or secondary school and are available for training by a postsecondary educational institution or persons who have already entered the labor market and who desire or need training or retraining to expand their range of skills or advance in employment. Training allowances for participants in bilingual vocational training programs are subject to the same conditions and limitations as set forth in Section III of the Comprehensive Employment and Training Act of 1973.

Program Operation:

Under this authority, the Commissioner contracts with eligible agencies, institutions, and organizations in supplying training in recognized and in new and emerging occupations. Instruction in the English language is included to insure that participants may find employment in environments where English is the language normally used. Eligible public or private institutions or other eligible agencies may also contract to train instructors of bilingual vocational training. This training may prepare persons to participate in bilingual vocational training or vocational education programs as instructors, aides, or other ancillary personnel, such as counselors, for inservice and development programs to enable such personnel to continue to improve their qualifications while participating in such programs. Fellowships or traineeships for persons engaged in such preservice or inservice training may also be provided.

Grants and contracts may be awarded to States, appropriate institutions, organizations or individuals to assist them in developing instructional materials, methods or techniques for bilingual vocational training. Funds under this section may be used for research in bilingual vocational training, programs designed to familiarize State agencies and training institutions with research findings and successful pilot and demonstration projects in bilingual vocational training; experimental, developmental and pilot programs and projects designed to test the effectiveness of research findings and other demonstration and dissemination projects.

Program Scope:

Twelve bilingual vocational training programs in seven States will be funded in FY 1978 to train 790 persons for employment in recognized occupations. In previous years, when the appropriation was used to fund only training programs, about 22 projects were funded annually to train about 1500 persons. The essential aspect of a bilingual vocational training program is that training is conducted both in English and the dominant language of the participants. Trainees are to acquire sufficient competence to enable them to perform satisfactorily in a work environment where English is used.

Three instructor training programs are under negotiation to provide preservice and inservice training for about 130 instructors and staff to work in bilingual vocational training programs. Also under negotiation is a contract to provide a monograph for use by bilingual vocational training project planners, evaluators and directors. The monograph will include a basic English vocabulary for training materials, a method of adapting English as a Second language (ESL) to vocational areas, a method of organizing the language and vocational components, and a method of evaluating the effectiveness of a bilingual vocational training project. The contract also provides for training sessions in the use of the materials for appropriate State agency personnel and other users.

Program Effectiveness and Progress:

Projects funded have generally reported high placement rates. Further outcome measures will also be used to measure the effectiveness of the programs in a continuing effort to meet the reporting and evaluation requirements of the Act.

Data prepared for the mandated report, The Status of Bilingual Vocational Education, indicate that persons from non-English backgrounds have significantly less educational attainment than those from the total population. Bureau of Census data from the Survey of Languages, completed in 1975, indicate that about 19 percent of the total population aged 19 or older have completed only the eighth grade or less. Those from households whose usual language is non-English, from the same age group, report that 58 percent have completed only the eighth grade or less. The largest group, those from Spanish-speaking backgrounds, have an unemployment rate more than 5 percent greater than those from English backgrounds.

The Census survey did not identify those from limited English-speaking backgrounds but reported data from population groups which included those who had language and comprehension problems.

An inventory of bilingual vocational training programs for adults within the 50 States identified 98 programs in 21 States. Approximately 13,000 students are enrolled at any given time in bilingual programs which provide occupational training in nearly 400 courses. Thirty-eight percent of the programs are in California and 81 percent are in eight States: California, New York, Texas, Arizona, Pennsylvania, New Mexico, Connecticut and Massachusetts.

Planned and Ongoing Studies:

The Status and Impact of Bilingual Vocational Training

To meet the reporting requirements under Part B, Subpart 3, of the Vocational Education Act as amended by Public Law 94-482, this study has four major objectives. It will provide information about the characteristics of limited English-speaking participants in bilingual vocational programs and will determine how such programs impact on the trainees. From interviews with the students while enrolled in occupational training programs and again about 12 months later, the study will provide data on what happens to participants, whether they obtain training-related jobs, or whether such programs increase their earning power and enhance career progression. The study must address the issue of whether participation in the program results in improved English skills and job skills which the trainees need to become employable. The study will determine the various ways the bilingual vocational training program may impact on the labor market and to assess whether such programs are training participants for skills needed within the applicable labor markets. The study will also develop criteria which may be useful for administrators to assess the effectiveness of bilingual vocational training programs. Two interim reports and the final report will provide information on work completed at designated phases of the study to make input into the annual reports submitted for approval by the Commissioner and the Secretary of Labor as specified in the Act.

Sources of Evaluation Data:

Status of Bilingual Vocational Training, a mandated report by the Commissioner of Education and the Secretary of Labor to the President and the Congress, December 1976.

Assessment of Bilingual Vocational Training, Kirschner Associates, Albuquerque, New Mexico, August 1976.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Adult Education -- Grants to States

Legislation:	Expiration Date:
P.L. 91-230, as amended by P.L. 93-380, Title VI, Part A P.L. 94-112, Extension for 1 year	September 30, 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	(Under Econ. Opp. Act)	$ 18,612,000
	1966	(" " " ")	20,744,063
	1967	$ 40,000,000	29,200,000
	1968	60,000,000	40,250,000
	1969	70,000,000	45,000,000
	1970	160,000,000	50,000,000
	1971	200,000,000	55,000,000
	1972	225,000,000	61,300,000
	1973	225,000,000	85,000,000
	1974	150,000,000	63,485,000
	1975 1/	150,000,000	67,500,000
	1976	175,000,000	71,500,000
	Transition Qtr.	-0-	71,500,000
	1977	210,000,000	80,500,000 2/
	1978	210,000,000	90,750,000
	1979	210,000,000	100,000,000

Program Goals and Objectives:

The purpose of this program, as stated in the legislation, is "to expand educational opportunity and encourage the establishment of programs of adult education that will enable all adults to continue their education to at least the level of completion of secondary school and make available the means to secure training that will enable them to become more employable, productive, and responsible citizens."

The legislation also mentions specifically: (1) service to institutionalized persons, not to exceed 20 percent of the funds available to the State for adult basic and secondary programs, (2) cooperation with manpower development and training programs and occupational education programs and coordination with other programs including those for reading improvement, (3) utili-

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1/ In 1975 the Appropriation Act included funds for both 1975 and 1976, placing this program on an advance funding basis.

2/ Advance funding for FY 78.

zation of amounts not to exceed 20 percent of the State allotment for programs of equivalency for a certificate of graduation from a secondary school, and (4) assistance to persons of limited English-speaking ability by providing bilingual adult education programs to the extent necessary to enable these persons to progress through the Adult Education Program and coordination of these efforts with programs of bilingual education offered under Title VII of ESEA and the Vocational Education Act.

The Act also requires that, of the funds allotted to a State, not less than 15 percent be used for special projects and for training adult education personnel, but this was changed to 10 percent by the Education Amendments of 1976. In addition, the Act specifies that a clearinghouse on adult education be established and operated for the purpose of collecting and disseminating public information pertaining to the education of adults. Another goal of the Act is to encourage the use of State Advisory Councils in Adult Education, since these are authorized and the qualifications for members are specified.

The Rules and Regulations for State Adult Education Programs, published in the Federal Register on April 23, 1975, quote the Law concerning the general purpose of the program. They also make provisions for the other goals mentioned in the law.

Program Operations:

This program is operated through formula grants made to States for the education of adults, defined as persons who are 16 or more years of age and who (1) do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education, and (2) are not currently required to be enrolled in school. Local school districts submit plans and proposals to the State education agency which makes the funding decisions. Ten percent of the total cost of any program must be covered by the State and/or local education agency, with up to 90 percent covered by Federal funds allocated to the State. (For the Trust Territory of the Pacific islands the Federal share may be 100 percent.)

The program Rules and Regulations specify that each State shall prepare an annual program plan which must be submitted to the U.S. Commissioner of Education through the Assistant Regional Commissioner for Occupational and Adult Education and received in the appropriate HEW Regional Office on or before the last day of the fiscal year preceding that for which funds are sought. This annual plan must be revised each year to reflect proposed activities for the ensuing fiscal year and must be submitted to the U.S. Commissioner for approval in accordance with the requirements set forth in the General Education Provisions Act. The information in the plan must be in sufficient detail to enable the Commissioner to determine whether the provisions of the Act and the Regulations are being administered efficiently and to determine whether and to what extent substantial progress is being made with respect to all appropriate segments of the adult population in need of adult education.

In addition, the program shall describe procedures to be used for conducting an annual evaluation of all activities carried out in the year for which funds are sought. These include specific criteria to be used in assessing the effectiveness of the program or project. The evaluations are to be conducted either by the State agency or by "other parties." Copies of any reports of such evaluations are to be sent to the Commissioner, and results submitted annually with the financial status report.

The program Rules and Regulations (April 23, 1975) discuss the establishment of national priorities in adult education. They state that the Office of Education will review and identify annually, for the guidance of State education agencies, national priorities in the field of adult education. State education agencies may take these priorities into consideration in developing their annual program plans. The areas suggested for fiscal year 77 are: (1) Dissemination in Adult Education, (2) Adult Performance Level Implementation (APL), (3) Role of the Employer in Adult Learning, (4) Education Programs for the Elderly, and (5) Eliminating Sex-Role Stereotyping.

Program Scope:

The group on which this program has focused consists of over 51 million adults aged 16 years or over who have not completed and who are not currently enrolled in high school. Within this group special emphasis is directed toward approximately 15 million adults with less than 8 years of formal education and approximately 1.2 million adults with no education of any type.

A new perspective on those to be served has resulted from a study entitled "Adult Functional Competency", which was completed in 1975 by the University of Texas for the Office of Education. The study was designed to measure accurately the education needs of U.S. adults in terms of performance level criteria derived from the concept of functional competence. A representative sample survey showed that 63.2 million adults between ages 18 and 65 lack the competencies needed to meet everyday requirements. Of this number, 23.2 million are so seriously deficient as to be functionally incompetent or "illiterate" in functional terms. Since the completion of the study, the Division of Adult Education has conducted an extensive campaign to acquaint State and local education programs with the results of the study. In February 1976 the U.S. Office of Education sponsored a national conference of State Directors of Adult Education and other State and local personnel to promote new programs in response to the APL study findings. More than 80 percent of the State adult education programs have since identified APL-related competency education as a priority for special development.

The American College Testing Program (ACT) received a contract to revise the national APL survey items. This will facilitate adult competency assessment at both State and school district levels. Two instruments are now available, one dealing with adult competencies and the other for use with high school students. Additional diagnostic instruments for each of the APL knowledge areas are available from ACT.

Among those eligible to be served by the State Grant program are the approximately 750,000 public school students who drop out each year and who are, therefore, eligible to participate. There are also about 400,000 immigrants arriving each year, a substantial number of whom need bilingual instruction as well as instruction in English as a second language in order to function as citizens in the United States.

Budget allotments to States are based on the number of resident adults who have not completed high school. The allotments to the individual States and territories ranged from $79,863 to $5,925,791 in FY 1975 and 1976; $123,695 to $229,791 in FY 1977 and $139,265 to $6,602,287 in FY 1978.

The planning and design phase of the adult education clearinghouse (ADELL - Adult Education and Lifelong Learning) was completed in 1977. In its present phase of operation, ADELL provides the following services: (1) a referral service which links callers with appropriate State, Regional, and national clearinghouses and other organizations, (2) a catalog of ongoing adult education projects which provides summary information on adult education demonstration projects funded under Section 306 and 309 of the Adult Education Act, and (3) a reference service (under development) to provide information on current State-funded demonstration and staff development projects.

During FY 1976, approximately 1.7 million adults participated in basic and secondary adult education programs receiving Federal funds through the State grant program compared to 37,991 enrolled in FY 1965. Of these about 123,400 participants completed an eighth grade level of education; 146,379 received public assistance; 580,734 were unemployed; 107,749 obtained employment or received better jobs; and 18,953 were removed from public assistance. Thirty-one percent were enrolled in courses described as English-as-a-second language. In the period 1965 to 1976 over 2 million adults have either completed the eighth grade or graduated from high schools.

Program Effectiveness and Progress:

In October 1977 the Division of Adult Education analyzed data received from 53 States reporting on the accomplishment of program objectives for fiscal year 76. The purpose was to assess States' progress in providing improved and more effective learning opportunities for disadvantaged adults. Many States reported the achievement of goals such as the following:

1. States increased the recruitment and retention of hard-to-reach adults most in need of basic (grades 1-8) educational services. Extensive recruitment campaigns were launched, the most successful of which included door-to-door canvasing, advertisements via the media, and referrals from community organizations and social agencies. Special demonstration projects and staff development programs focused on effective methods and techniques for reaching and retaining this population of adults. Cooperative arrangements were established with agencies in order to provide support services (health, child care, etc.). New programs were established in poverty areas both in inner cities and in rural communities.

2. Improvements in the operation, administration, and evaluation of local programs was emphasized in statewide workshops for local administrative personnel. State coordinators visited local programs on the average of two or three times during the year to verify enrollments, compliance with adult education Federal and State legislation and regulations, and the achievement of objectives established by local directors.

3. States expanded the number of adult education classes through increased cooperative arrangements with agencies and organizations such as Community Education, CETA, Health Services, Social Services, churches, correctional and mental institutions, and community action agencies. New adult learning centers were started, classes were provided in area vocational centers, instruction was offered via television and mobil vans, and new programs were established, many with satellite classes in rural communities or other areas with small scattered numbers of adults needing services.

4. States increased efforts to improve the quality of instructional services through special demonstration and staff development projects. Projects either trained personnel or developed curriculum or instructional methodology in the areas of life-coping skills, adult high school and APL concepts, and volunteer tutorial training in reading and mathematics.

From a survey conducted in 43 States in 1977 an average of $867,657 projected savings by State was calculated as a result of adult education learners removed from public assistance. A projected income based on a minimum wage rate earned by adults who became employed after their completion of the program was $267,979,524, or an average of $6,232,081 per State. Projected additional money earned by adults who were promoted as a result of adult education was $9,352,201, or an average of $217,493 per State.

In November 1973 a study entitled Longitudinal Evaluation of the Adult Basic Education Program was completed for the Office of Education by Systems Development Corporation. The purpose was to evaluate the effects of the ABE Program on its priority group -- adults from ages 18 to 44 years with less than 8 years of schooling. Beginning in mid-1971 information was collected on the effectiveness of ABE in improving literacy, raising earnings, and increasing intangible personal benefits. Data were gathered across a variety of programs, and a representative sample of participants was studied over an 18-month period through a series of interviews and basic skills tests. (The test battery consisted of selected portions of the Test of Adult Basic Education.)

The sample included 2,300 students in 200 classes, 90 programs, and 15 States. Average scores on initial tests showed achievement at the fifth grade level for reading and at the sixth for mathematics. Four months later the sample was retested. Mean grade level gains between tests were half a grade for reading and three-tenths of a grade in mathematics. Over one-fourth of the students gained a full grade or more in mathematics. On the other hand, approximately one-third of all students made no gain at all or even lost ground during the four-month interval.

Most ABE classes met in school buildings 2 evenings a week from September through May. The average class session was about 3 hours. Enrollment in classes in November 1971 ranged from 3 to 80, with an average of 16 students per class. Students generally had very positive opinions about their ABE experiences and their improvement in reading, writing, and mathematics. Most of them gave ABE credit for job and earnings improvements. However, extensive statistical analyses of the data did not indicate any clear or convincing relationships between program characteristics or classroom methods and the differential gains students made in earnings and in academic achievement.

In February 1976 a final report was received on a project carried out by Kirschner Associates, Inc. This study, An Analysis of Selected Issues in Adult Education, attempted to define needs for various types of adult education; to describe current responses to that need at Federal, State, and local levels; to identify and analyze differences between need and response; and to identify and explore alternative roles (policies) for the Federal government. The project defined five different types of adult education -- basic, secondary, job-related, functional, and personal development.

The study was based entirely on secondary data sources including Census, NCES adult participation data, OMB Federal program descriptions, and bibliographic information. Economic and social analyses were made for each of the five types, the need was defined, and the participation data analyzed. General information on the supply of programs was noted, and a comparison was made of the need and the supply.

Among the policy issues discussed are: (1) Federal financial support for adult education, (2) varying emphasis on different types of adult education, (3) focusing on different target groups such as women or older persons, (4) delivery systems for adult education, (5) Federal legislation, and (6) further research and evaluation in adult education. Among the more provocative conclusions presented for further discussion at the Federal level are the following:

1. Development of the nation's human resources through adult education is accorded a very low national priority as measured by the Federal financial support received.

2. After looking at all five types of adult education, one concludes that Federal emphasis should be selective in order to serve a population that has need or to achieve a particular purpose. There appears to be limited utility in such broad policy as that "everyone should be literate." While complete literacy is desirable, it is not likely to be achieved. Further, as social and economic conditions change, one must anticipate that relative emphases among the five types of adult education will change. This suggests a policy of flexible administration to answer adults' current needs.

3. It is evident that each group in society has some legitimate claim to public support for its participation in adult education. This conclusion suggests that no one should be denied entirely some public support and that the balance among claimants for support must continually be adjusted to reflect current societal conditions and needs.

4. Delivery systems in adult education are pluralistic, and their variety should be maintained. Selecting one or two delivery strategies for official sanction does not seem appropriate on the basis of available data. It may well be that the pluralistic and often competitive nature of the system will result in the provision of programs that are sensitive to the many different needs of adults.

5. The data suggest that the legislative variety that exists today may serve a useful purpose in preserving the pluralistic approach and in providing for the differing needs of heterogeneous groups of adults. Thus, a major overhaul of Federal adult education legislation is probably not required at this time.

Ongoing and Planned Evaluation Studies:

An evaluation of State Grant Program has been designed and is scheduled for implementation beginning in September 1978.

Sources of Evaluation Data:

Annual State Performance and Financial Reports

Regional Office Reports on Site-Visits to Programs and State Departments

HEW Reports on State Program Audits

An Analysis of Selected Issues in Adult Education, Kirschner Associates, Inc., 1976.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Career Education

Legislation: 1/

P.L. 531, 83rd Congress, as amended. P.L. 93-380, Sections 402 and 406, P.L. 95-207

Expiration Date:

September 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 15,000,000	$ 10,000,000
	1976	15,000,000	10,135,000
	1977	15,000,000	10,135,000
	1978	15,000,000	10,135,000
	1979	65,000,000	32,500,000

Program Goals and Objectives:

Section 406 establishes as policy that: (1) Every student who completes secondary school should be prepared for gainful or maximum employment and full participation in society according to his or her ability, (2) local education agencies have an obligation to provide such preparation for all students, and (3) each State and local agency should offer programs of career education which provide a wide variety of options designed to prepare each child for employment and participation. It is the purpose of Section 406 to assist in achieving these policies through the following activities:

1. Developing information on needs for career education
2. Promoting a national dialogue which will encourage State and local agencies to determine and adopt the best career education approach for children they serve

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1/ During FY 75 this Program operated under the authority of the Cooperative Research Act. In FY 76 through FY 78 it operated under the Special Projects Act, Public Law 93-380, Sections 402 and 406. Under the latter Act, half of the Special Projects funds went directly to the Commissioner for use in contracts and the other half to the programs named in that Act, one of which was Career Education. P.L. 93-380 expired at the end of 1978 and the Congress passed the Career Education Incentive Act (P.L. 95-207) on December 13, 1977 to authorize funding beginning in FY 79 and ending in FY 83.

3. Assessing the status of career education programs and practices, including a reassessment of stereotyping of career opportunities by race or sex

4. Providing for demonstration of the best current career education programs and practices by developing and testing exemplary programs and practices based on varying theories

5. Providing training and retraining of persons to conduct career education programs

6. Developing State and local plans for implementing career education programs

In addition to its stated purpose of authorizing the implementing activities mentioned above, the law also: (1) set up a National Advisory Council on Career Education, (2) established an Office of Career Education within the U.S. Office of Education, (3) authorized the Commissioner to make grants to State and local educational agencies, institutions of higher education, and other nonprofit agencies and organizations for demonstration projects, (4) authorized the Commissioner to make grants to State education agencies for State planning projects, and (5) mandated a survey of career education. (This survey was completed and forwarded to the Congress in May 1976.)

Program Operations:

Applications for demonstration projects and for State planning projects are received from eligible agencies and institutions in the field. Those to be funded are selected by review panels on the basis of criteria having to do with the following: (1) evidence of need, (2) practicability and measurability of objectives, (3) quality of operational plan, (4) interaction between education and the world of work, (5) quality of evaluation plan, (6) extent to which project is exemplary, (7) quality of personnel, and (8) extent to which the budget is reasonable.

In addition to evaluating the effectiveness of her/his project and determining the extent to which the objectives were accomplished, each applicant is responsible for providing a final report on his/her efforts and for incorporating a plan to disseminate information to others during the course of the project as well as at the conclusion of the grant period.

Program Scope:

FY 1978 funds were used to support 87 career education projects covering five categories of activities: incremental improvements in K-12 career education programs (12 projects), demonstration of career education in a variety of instutional settings (10 projects), demonstration of career education for a variety of special populations (30) projects), demonstration of the training and retraining of persons for conducting career education programs (20 projects), and communication about career education philosophy, methods, program activities, and evaluation results (15 projects). The average award for a project was approximately $116, 494. Projects were supported in 34 States and in one Insular Area, the Virgin Islands.

Program Effectiveness and Progress:

Section 406 of P.L. 93-380 gave as its purpose the implementation of stated career education policies through six specified activities. Evidence is available of substantial progress in all of the first five activities. Work in the sixth activity, developing State plans, was authorized by the law for FY 76 and FY 77 only, and this has also been largely accomplished. All but one State and all but one Territory have received grants, and the plans are due in the Office of Career Education by September 30, 1978.

The Office of Career Education has established within its offices a library consisting of approximately 4,000 pieces of non-commercial material on career education. These curricula, workbooks, teacher training outlines, etc., have been sent in by practitioners across the country. All materials have now been indexed according to a classification scheme which provides an indexed card for each piece with 40 key descriptors, including items related to sex and race stereotyping.

In 1975 the Office of Career Education issued a policy paper, An Introduction to Career Education, which provided OE's first comprehensive conceptual statement on career education. In FY 1978, an updated conceptual statement entitled A Primer for Career Education was issued. In addition, since FY 1975 the Office of Career Education has issued 25 monographs and 20 other booklets dealing with specific topics in career education. All of these publications contribute to the stated intent of the law concerning the promotion of a national dialogue on career education, as do the 103 "mini-conferences" held to date.

Technical assistance in evaluation as a means of improving program effectiveness was first provided by OCE to the directors of local projects through an evaluation handbook. It was developed by the Office of Planning, Budgeting, and Evaluation under a contract with Development Associates, Inc. This how-to-do-it publication grew out of an evaluation of prototype career education projects supported under Part D of the Vocational Education Act. It was field-tested during FY 75, and the final version, Evaluation and Educational Decision-Making: A Functional Guide to Evaluating Career Education, was widely distributed in FY 76.

Additional technical assistance in evaluation was provided to 15 career education demonstration sites through a contract awarded to the National Testing Service of Durham, North Carolina. This project, ended in September 1978. In addition to improved evaluation at the 15 sites, the project provides information about the problems encountered in carrying out evaluation in the field.

Further attention to improving program effectiveness is found in the fact that each director of a new demonstration project attends a conference at which a major block of time is devoted to the problem of designing an adequte evaluation for her/his particular project. In addition, two "mini-conferences" have been held on evaluation in career education. The results have been published in a monograph entitled Perspectives on the Problem of Evaluation in Career Education.

OCE staff members have prepared two additional publications based on analyses of evaluations already completed by individuals in the field. In May 1977 OCE issued the publication Career Education and Basic Academic Achievement: A Descriptive Analysis of the Research, which looks at the effects on basic skills, is this case reading and mathematics, when career education is infused throughout the curriculum. Of the 38 studies examined, 19 offered positive evidence that career education was associated with increased academic achievement in students. Fifteen studies were moderately supportive of that proposition, and four indicated that there was little or no effect. The other publication, which also appeared in May 1977, was A Review of Career Education Evaluation Studies. It examined a wide range of evaluations having to do with career awareness and career decision-making and found several studies which reported that older students who had participated in career education projects achieved gains in occupational information, attitudes toward work, career maturity, knowledge of the world of work, and reality about their career planning. Students who had participated at the elementary and secondary levels were better able to make decisions which required analysis of their own abilities, of occupational roles, and of the relationship of self to career plans.

A fourth publication on evaluation is Career Evaluation - What Proof Do We Have That It Works? It includes all five reports given at a special symposium on evaluation at the Commissioner's National Conference on Career Education in Houston in November 1976. The reports include studies of career education and achievement in reading and mathematics of fifth grade students in Texas; basic skills of Dade County, Florida, secondary students; and self-awareness as well as basic skills of students in grades 9-12 in Jefferson County, Kentucky. The overview and summary by the chairperson of the symposium gives a broad perspective on what has been going on in career education evaluation and what it may mean for the future.

The fifth and most recent OCE monograph on evaluation is What Does Career Education Do For Kids? A Synthesis of 1975-75 Evaluation Results. This publication is based on an examination of 45 final reports from career education demonstration projects. Of these, 26 were projects supported under Part D of the Vocational Education Act and 19 were projects supported by OCE. The final reports included more than 500 student outcome studies conducted within the projects. On the basis of an analysis of all 500 studies, it was concluded that career education programs generally achieve progress toward some of their objectives and that there is good evidence of strengthening youngsters' desire to work and their career decision-making skills.

Ongoing and Planned Evaluation Studies:

The project on "Identification of Evaluated, Exemplary Activities in Career Education (K-12)", conducted by the American Institutes for Research during the past year has been successful and productive. Seven of the 10 projects submitted were approved as exemplary by the Education Division's Joint Dissemination Review Panel. In addition to the analyses of the evaluations of these 10 projects, descriptions of them averaging 30 pages in length were prepared. Also completed is an Evaluation Guide for practitioners which includes advice on how to go about evaluating six different kinds of activities in career education, and there is a final report describing what was done under the contract and how. An Executive Summary is being distributed.

A new contract was awarded in August 1978 for an "Assessment of State Plans for Career Education." These are the plans supported by grants authorized for FY 76 and 77 in Public Law 93-380. Over the 2-year period grants were made to all but one State and all but one Territory for the purpose of developing a plan for implementing career education in the local education agencies of their State or Territory. The RFP Work Statement requires the contractor to develop a model State plan, to use it as a basis for evaluating the plans which have been produced, to provide guidance to OCE and to the States as to how they can most easily relate their plans to the new Career Education Incentive Act (P.L. 94-207), and to determine, insofar as possible, the extent to which the States have or are ready to move toward implementation of their plans. Each State will receive information about the assessment of its own plan, and general information on remedial actions will be prepared as needed.

Sources of Evaluation Data:

Project reports from grantees, 1977 and 1978.

Bhaerman, Robert D. Career Education and Basic Academic Achievement: A Descriptive Analysis of the Research. Washington, D.C. U.S. Office of Education; May 1977. (ED-140-032)

Bonnet, Deborah G. What Does Career Education Do For Kids? A Synthesis of 1975-76 Evaluation Results. Crawfordsville, Indiana: New Educational Directions, Inc.; June 1977. (ED-143-831)

Datta, Lois-ellin and others. Career Education - What Proof Do We Have That It Works? Washington, D.C.: U.S. Office of Education; 1977. (ED-151-516)

Enderlein, Thomas. A Review of Career Education Evaluation Studies. Washington, D.C.: U.S. Office of Education; 1976. (ED-141-584)

McLaughlin, Donald and others. Career Education in the Public Schools, 1974-75: A National Survey. Palo Alto, California: American Institutes for Research; May 1976. (ED-122-165)

National Advisory Council on Career Education. The Efficacy of Career Education. Washington, D.C.: The Council; 1976. (ED-130-092)

U.S. Congress. Elementary and Secondary Career Education Act of 1977: Hearings Before the Committee on Education and Labor, House of Representatives, 95th Congress on H.R. 7. (Hearings held in Washington, D.C., February 8, 9; March 1, 2, 3, 1977) Washington, D.C.: U.S. Government Printing Office; 1977. (ED-145-082)

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K. EVALUATION OF DEVELOPMENTAL PROGRAMS

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Teacher Corps Program

Legislation:	Expiration Date:
Title V-A of the Higher Education Act of 1965 (P.L. 89-329), as amended by P.L. 90-35, P.L. 90-575, P.L. 91-230, P.L. 92-318, P.L. 93-380 and P.L. 94-482	FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 36,100,000	$ 9,500,000
	1967	64,715,000	11,324,000
	1968	33,000,000	13,500,000
	1969	46,000,000	20,900,000
	1970	80,000,000	21,737,000
	1971	100,000,000	30,800,000
	1972	100,000,000	37,435,000
	1973	37,500,000	37,500,000
	1974	37,500,000	37,500,000
	1975	37,500,000	37,500,000
	1976	37,500,000	37,500,000
	1977	50,000,000	37,500,000
	1978	75,000,000	37,500,000
	1979	100,000,000	37,500,000

Program Goals and Objectives:

The purposes of Teacher Corps as stated in the legislation are to strengthen the educational opportunities available to children in areas having concentrations of low-income families, to encourage colleges and universities to broaden their programs of teacher preparation, and to encourage institutions of higher education and local education agencies to improve programs of training and retraining for teachers and teacher aides by --

(1) attracting and training qualified teachers who will be made available to local education agencies for teaching in such areas;

(2) attracting and training inexperienced teacher interns who will be made available for teaching and inservice training to local education agencies in such areas in teams led by an experienced teacher;

(3) attracting volunteers to serve as part-time tutors or full-time instructional assistants in programs carried out by local education agencies and institutions of higher education serving such areas;

(4) attracting and training education personnel to provide relevant remedial, basic, and secondary educational training, including literacy and communication skills, for juvenile delinquents, youth offenders, and adult criminal offenders; and

(5) supporting demonstration, documentation, institutionalization, and dissemination of the results.

This last goal reflects several significant changes introduced by the Education Amendments of 1976. One major change was in extending the two year grant cycle of previous years to five years. Second, each Teacher Corps project will emphasize the demonstration of new programs and practices which emphasize the linkages between preservice and inservice and which involve the total faculty of a site school. Typical program elements include flexible models of teacher education based on performance criteria; the development of collaborative decision-making procedures assuring parity to the participating college or university, community served by the project, and local education agency; the development of a community component which seeks to lessen the distance between the institutions and community by providing educational services beyond the school walls and involving parents in the classroom program; the demonstration of a major teacher training thrust or framework (CBTE, multidisciplinary, research based, etc.) for the demonstration of an integrated program of training and retraining; and an emphasis on the improvement of the management function within the cooperating agencies for the delivery of education personnel and retraining services including planning, documentation, institutionalization, and dissemination.

In FY 78 Teacher Corps goals and objectives were expanded to include demonstration of training and retraining programs for all educational personnel in grades K-12, in institutions of higher education, and in communities served by these programs. These demonstration programs will be implemented over a five year grant period. Planning to meet this broader, more inclusive mandate is in process.

Program Operations:

In general, Teacher Corps awards grants to an institution of higher education and a local education agency, either of which may be the prime grantee, to jointly operate a project which will be managed collaboratively. The project governance structure includes representatives of the community served by the project. Awards are made each year for a five year project duration.

Projects operate more or less independently, receiving guidance from the program specialist assigned monitoring responsibility within the Teacher Corps office, and submitting quarterly reports of progress. Geographically contiguous projects are organized into "networks," seeking to find cost-beneficial and efficient ways to meet mutual needs for improving management for communication and services. Teacher Corps also supports various technical and developmental services to assist projects. These include several recruitment, technical assistance, and referral centers, annual national conferences and staff training effort, and a Corps Member Training Institute, providing a single site preservice experience for all new interns and team leaders.

Program Scope:

During Fiscal Year 1977 the Teacher Corps had 117 operational projects. These projects were located in 109 school districts, 108 institutions of higher education, 6 State Departments of Education, including Guam and Puerto Rico, for a total of 223 project sites. In addition, 58 new projects were funded in 55 IHE's, 57 school districts, and one State Department of Corrections. Teacher Corps projects, through differentiated staffing and individualized instructional activities, directly affected the learning experience of approximately 700,000 children. Approximately 80 percent of these children were from elementary schools. Projects impacted on special clientele groups such as bilingual children (25 projects), Indian children (9 projects), and children in correctional institutions (11 projects). Teacher Corps also supported a special program which encouraged high school and college students, parents and other community residents to serve as tutors or instructional assistants for children in disadvantaged areas.

During FY 1978 Teacher Corps awarded 80 new Program '78 project grants. About half of the two year funded projects are completing their final year of operation.

Program Effectiveness and Progress:

1. An Assessment of Teacher Corps (August 1970). The purpose of this study was to determine the extent to which Teacher Corps was achieving its stated goals and objectives, and to attempt to identify program characteristics that contribute to success or failure. Ten sample projects were evaluated according to the extent to which 45 process objectives (based on seven general legislative goals) were being met, and according to

measures on six dichotomous structured program variables. Data collection consisted of on-site interviews with project participants and questionnaires. Results indicated that Teacher Corps was successful in meeting only some of its goals. Progress had been made in recruiting highly motivated student teachers and placing them in schools serving low-income areas, thus providing more instructional services to the community. However, there was little evidence that the more ambitious legislative goals were being achieved. For example, increased cooperation among school districts, universities, and communities being served appeared to be short-term, and Teacher Corps practices were not being adopted by cooperating universities.

2. Assessment of the Teacher Corps Program (July 1972) The Comptroller General's Office issued a report to the Congress in July 1972 concerning the assessment of the Teacher Corps program made by the General Accounting Office (GAO). The study consisted of a review of Teacher Corps projects at seven institutions of higher education and the respective participating local education agencies. Also, a questionnaire was sent to all Corps members in the Nation who had completed their internships in 1968 and 1969. A total of 550 responded to the questionnaire. The findings and conclusions are grouped according to the two major program purposes as follows:

Strengthening educational opportunities

The GAO found that the program strengthened the educational opportunities for children of low-income families who attended school where Corps members were assigned. Corps members provided more individualized instruction, used new teaching methods, and expanded classroom and extracurricular activities. Some of the Teacher Corps approaches to educating children were continued by the school districts after Corps members completed their assignments. Other approaches were discontinued because the school districts either had not determined their usefulness or did not have sufficient staff and financial resources to carry them on. Corps members generally became involved with various types of educational community activities which most Corps members believe had been a benefit to both children and adults. Some believed, however, that the activities were of little or no benefit due to poor planning and lack of community support. A majority of the interns who graduated from the program remained in the field of education. Most of these interns took teaching positions in schools serving low-income areas.

Broadening teacher-training program

The GAO study indicates that the program had some success in broadening teacher preparation programs at institutions of higher education. All seven institutions made some changes in their regular teacher preparation program as a result of the Teacher Corps. Most interns believed that their academic course-work was relevant to their needs. The impact of the program was lessened, however, because much of the special curriculum was not made available to non-Teacher Corps students and because institutions had not identified teaching approaches and techniques that would warrant inclusion in their regular teacher preparation programs.

3. A Study of Teacher Training at Sixth Cycle Teacher Corps Projects (February 1975). A major study of the impact and effectiveness of Teacher Corps was begun in July 1972. This was a two-phase comprehensive study which concentrated attention and evaluation measurement of program performance in terms of the ultimate student performance goal. The study focused on analysis of the impact of the program as measured by three major dimensions -- institutional change, enhanced teaching skills and behaviors, and improved classroom learning by students taught by Teacher Corps interns and graduates. Twenty Sixth Cycle elementary school projects participated in the study. Phase I of the study was completed in June 1974. Phase II was completed in December 1974.

The objective of Phase I of the study was to identify and analyze those combinations of intern background characteristics and training program characteristics that are related to desired teaching skills and attitudes of interns at the end of their training (exit characteristics). Data were collected at 20 Sixth Cycle Teacher Corps projects. The 20 projects represent all of those that prepared interns as elementary school teachers during the period 1971-75. Data about the training program at each site were obtained by interviews with and completed questionnaires from 11 groups of project personnel. Data about intern teaching characteristics were obtained from a 50 percent stratified random sample of interns (sample N=369) through classroom observations and interns' weekly logs on their professional activities. All data about the training programs for interns and the teaching characteristics of interns were gathered in the spring of their second year of teaching.

The conclusions drawn from Phase I of this study are:

1. Background characteristics and training program characteristics were not good predictors of an intern's exit teaching skills and attitudes; however, to the extent that such relationships

are upheld, it is the Teacher Corps training program that is most closely associated with his or her exit teaching skills and attitudes.

2. The training program characteristics most closely associated with intern exit teaching skills and attitudes are:

   a. aspects of competency-based teacher education, such as the pattern of collaborative decision-making, and the degree of personalization of the program for interns

   b. the degree of program integration, e.g., follow-up of course-work in public school setting

   c. the community component for interns

3. For black, Chicano, or white interns studied separately, there were discernible patterns of relationship between intern background characteristics, Teacher Corps training program characteristics, and intern exit teaching skills and attitudes. For example, the community component of the training program for Chicano and white interns was directly related to the ability of these interns to communicate effectively with pupils. Such a relationship did not hold for black interns.

Phase II of the study was designed to compare 100 first-year teachers who were Teacher Corps interns with other young teachers in terms of teacher performance and growth. Pupils of all teachers in Phase II were given an achievement test in reading and an attitude test, measuring self-esteem, in the fall and spring of the 1973-74 school year. In addition, classroom observation was carried out to assess both teacher behavior and pupil behavior. The basic purposes of Phase II were:

1. to assess the effectiveness of Teacher Corps graduates in working with low-income/minority group children and

2. to assess patterns of relationship between teacher background, teacher education program, teacher behavior and pupil learning and growth variables.

The conclusions drawn from Phase II of the study are:

1. Teacher Corps graduates were superior to con-

control group teachers on many of the teacher performance variables desired by Teacher Corps projectse.g., developing ethnically relevant curriculusing community resources in teaching and initiating contact with parents, positive attitudes about reading development, and causes of poverty in society.

2. There was no difference between the two groups of teachers in terms of (a) their perception of the importance of bringing about educational change in the school, and (b) in reading gains of pupils despite a greater emphasis on reading instruction on the part of control group teachers in grades 2-3.

3. Teacher Corps graduates were able to bring about changes in a pupil's self-concept that were significantly greater than changes brought about by control group teachers.

4. Teacher Corps graduates who facilitated both high reading gains and improved self-concept tended to be teachers who brought about changes in the school and who initiated contact with parents.

5. No teacher background characteristics or Teacher Corps program variables were significantly correlated directly with pupil reading gain. A number of Teacher Corps program variables, however, were significantly correlated with pupil self-concept growth and other pupil variables. The consistent pattern of relationship between most pupil variables and Teacher Corps program characteristics strongly suggests that teacher training does make a difference on pupil behavior in the classroom and on related teacher performance.

4. Limitations of a Standard Perspective on Program Evaluation: The Example of Ten Years of Teacher Corps Evaluations (April 1977). This recent paper addresses the problems associated with using a generally standard approach for evaluation of an educational program by reviewing the history of evaluation of Teacher Corps. The three major reasons for choosing Teacher Corps were: (1) Teacher Corps has had a long history of change and re-direction in its policy and guidelines, thus making it possible to look at the extent to which evaluation studies have affected policy

decisions; (2) the complexity of Teacher Corps has provided a challenge to evaluators over the years; and (3) the field of teacher education is in need of greater understanding based upon empirical findings.

The paper reviews six varied evaluation studies, and argues that the methodologies used, even when applied in quite creative studies, did little to influence program policy decisions. The points discussed in this paper merit attention and discussion before future evaluations of Teacher Corps are undertaken.

In discussing the six studies, the paper suggests that the results and recommendations stemming from the studies were too often untimely or irrelevant to budget, legislative, or program management decisions. For example, the study of the 6th Cycle Teacher Corps was directed at assessing the effectiveness of intern preservice training. By the time the study was completed, Teacher Corps had changed its focus to a training program for experienced teachers. Thus, the 6th Cycle Study will aid future Teacher Corps policy decisions only as they may relate to the continued preservice component of Teacher Corps.

Ongoing and Planned Evaluation Studies:

Teacher Corps projects under broadened program goals and new program regulations began their 5-year grant periods in early summer 1978. A comprehensive longitudinal evaluation of the new program has been developed and a contract awarded in early August 1978 for the implementation of the evaluation. The evaluation will reflect the character of the new five year program, namely the planning, documentation, demonstration, institutionalization, and dissemination phases. Some results are expected beginning in 1979.

Source of Evaluation Data:

1. Annual operational data collected by the Teacher Corps Program.

2. An Assessment of Teacher Corps, by Resource Management Corporation, August 1970.

3. A Study of Teacher Training at Sixth Cycle Teacher Corps Projects by Pacific Consultants, October 1974 and February 1975.

4. Limitations of a Standard Perspective on Program Evaluation: The Example of Ten Years of Teachers Corps Evaluation, by G. Thomas Fox, Jr., University of Wisconsin, April 1977.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Public Library Services

Legislation:

Library Services and Construction Act, Title I, as amended by P.L. 91-600 (and Title IV-A and IV-B to 1972) and further amended by P.L. 93-380 and P.L. 95-123

Expiration Date:

FY 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
Beginning in 1972, State Institutionalized Services (Title IV-A) and Services to the Physically Handicapped (Title IV-B) were combined under Title I.	1965	$25,000,000	$25,000,000
	1966	25,000,000	25,000,000
	1967	35,000,000	35,000,000
	1968	45,000,000	35,000,000
	1969	55,000,000	35,000,000
	1970	65,000,000	29,750,000
	1971	75,000,000	35,000,000
	1972	112,000,000	46,568,500
	1973	117,600,000	62,000,000 1/
	1974	123,500,000	44,155,500
	1975	129,675,000	49,155,000
	1976	137,150,000	49,155,000
	Transition Quarter		12,289,000
	1977	137,150,000	56,900,000
	1978	110,000,000	56,900,000
	1979	140,000,000	62,500,000

Program Goals and Objectives:

The legislative purpose of the program is to provide support to States: to assist them in providing library services to areas without such services or areas with inadequate services; to assist in improving quality of information services including services to specialized groups such as the disadvantaged, bilingual, the physically handicapped, and those in State-supported institutions; to strengthen metropolitan public libraries which serve as national or regional resources centers; and to plan program and projects to extend and improve services. Funds may also be used to strengthen the capacity of the State library administrative agencies to serve the people, and for administrative costs for all Library Services and Construction Act programs.

1/ $32,000,000 of the 1973 appropriation was impounded and not released until FY 1974.

Program Operations:

LSCA, Title I, allots funds to the States by grants on a formula-matching basis. Each State, and D.C. and Puerto Rico, receives a base of $200,000 and each outlying Territory receives a base of $40,000, with the balance distributed on the basis of total resident population. The Federal share ranges from 33 percent to 66 percent except for the Trust Territories, which are 100 percent federally funded. States must match in proportion to their per capita income and maintain the level of expenditures of the second preceding year. They must also maintain the same level of fiscal effort of the second preceding year for handicapped and institutionalized library services. States are also required to match any Federal expenditures for administration of the programs with an equal amount of non-Federal funds. In order to participate, each officially designated State library administrative agency must submit a basic State plan (State-Federal agreement), a long-range program for library development based on the State's assessed needs, an annual program and an annual evaluation report. These documents outline a State's goals, objectives, priorities, and activities, along with project evaluations for specified periods of time. Furthermore, they provide to the U.S. Commissioner of Education assurances that the above mentioned specific requirements will be met annually as stated in the State-Federal agreement signed by both parties.

Program Scope:

1.	Federal dollars appropriated (1957-78)	$657,673,500
2.	State and local matching dollars (1957-78)	over $2 billion

Estimated FY 77 data for this program are as follows:

3.	Population with access to public library services	$201,000,000
4.	Disadvantaged persons receiving services from LSCA funds	29,000,000
5.	Number of State institutionalized persons served by LSCA funds	800,000
6.	Number of handicapped persons served by LSCA	480,000
7.	Number of metropolitan libraries strengthened as resource centers	109

Program Effectiveness and Progress:

Federal assistance has contributed to the expansion and improvement of library services throughout the country. Today, about 96 percent of the population has access to some form of public library services. Current reports indicated that over 60 percent of the LSCA expenditures have gone to projects with designated disadvantaged priorities.

The first study of the impact of Title I services, covering the period from 1964 to 1968, was made by the System Development Corporation (SDC), Santa Monica. In reviewing the LSCA activities in 11 States it found that most projects felt handicapped by: lack of manpower; lack of coordination among public libraries and other education agencies; need for research in determining whether disadvantaged projects were reaching their goals; lack of understanding on the part of the public of library's potential and actual services; lack of ability of libraries to react quickly to public demands for more services; and lack of suitable measurements of library performance.

The Behavioral Science Corporation, Washington, D.C., conducted a study to evaluate public library service to disadvantaged people in selected cities. These projects were not limited, however, to Title I projects. This pilot study selected library programs in 15 cities serving the disadvantaged and utilized user and nonuser interviews for evaluation. The study recommended that libraries find better ways to coordinate with schools when dealing with disadvantaged children. The successful programs were characterized by some or all of the following features: active participation by the target group; emphasis on audio visual rather than print materials; and provision of significant service in the community.

Another major evaluation study was conducted by SDC to determine how the Library Service and Construction Act, Title I, is meeting the public library needs of special clientele groups; e.g., disadvantaged, ethnic minorities, handicapped, and institutionalized persons. This evaluation surveyed all State Library Agencies, all known ongoing projects directed toward these groups, and discontinued projects. This study provides an inventory of projects, a needs assessment, and recommendations for program change. Over 1,600 projects were identified and queried. It was found that many projects classified as discontinued (these projects had been initiated with LSCA funds) were operational because of funds received from State or local agencies. A methodology specifying criteria to judge program effectiveness was developed, and was tested and validated with the projects in the study.

The report concluded:

> It is evident from the data gathered in this project that LSCA projects directed toward special clientele have been successful, to some extent. More projects are successful than unsuccessful, and fairly significant numbers of special clientele groups have been reached. It is also evident that some projects are far from successful. Many important needs are not being met, or barely being met, even by projects judged successful...
>
> In many States it was evident that were federal funds not available, there would be no projects whatsoever for special clientele. Indeed, in one State plan that was examined the statement was made that, while there were special clientele in the State, no projects need be directed towards them because the state intended to give service to all of its citizens on an equal basis: That naive attitude represents -- all too frequently -- the lack of knowledge and concern that exists at many levels of state and local government. Special clientele frequently need to be educated to become users, and persuaded that the library has something of value for them. LSCA funds have been a critical factor in projects for special clientele, and they have provided the bulk of the funds being used for innovative projects; without LSCA (or a real substitute) there would be little or no innovation -- in short, a rather static, even moribund public library in the U.S.

A subsequent study of "The Public Library and Federal Policy," performed by SDC, assessed the current national public library situation utilizing existing data and included recommendations for further data collection efforts in areas of current information deficiencies. The final report stated:

> In this study we examined the past and present status of the public library and likely directions for the future. Based upon our examination of the public library as an information-providing institution, and our certainty that free access to all kinds of information is a requirement of a democratic society and a necessity for individual well being, [it was found that]

> The Federal government has played a role in recent years of helping the public library to organize into systems and to provide services to segments of the population who were previously unserved. While there are indications that Federal programs suffered from insufficient coordination, insufficient evaluation, and inadequate funding, there is much evidence to demonstrate that a strong impetus toward system organization and the provision of services to special clientele were provided by Federal intervention.

In addition to these major studies, inhouse program analyses and observations made by regional and headquarters staff, and the American Library Association's 20-year LSCA survey results, indicate the following accomplishments of LSCA.

With its matching requirements, LSCA has increased the overall availability of library services by stimulating programs for statewide public library development. Since the inception of LSCA, 15 additional Sthave initiated grants-in-aid programs, bringing the total of such programs to 38 with annual appropriations exceeding $100 million. Statistical tabulations show that the number of persons with access to public library services has risen from 88 million to 201 million persons, a dramatic increase from 56 percent to 96 percent of the total U.S. population being served.

An examination of expenditure reports reveals a marked decrease in the use of LSCA funds for administrative purposes, with a major drop from 7.2 percent to 4 percent occurring since 1975. Current breakouts of expenditures show 4 percent used for administration; 11 percent for strengthening the State agency to provide improved services throughout the State; 19 percent for statewide programs, such as films, cooperative book purchasing and processing, inservice training workshops, etc.; and 66 percent used at the local level for numerous disadvantaged priorities.

LSCA has stimulated major inroads in critical needs areas by providing funds to initiate innovative and specialized services. New and previously unserved handicapped clienteles, in particular the less visible populations such as the deaf, mentally retarded, learning disabled, and the homebound are now being offered specially designed services and materials provided by LSCA funds. LSCA has also prompted recognition and response to the cultural and linguistic needs of smaller ethnic enclaves, such as Cape Verdeans, Armenians, Greeks, Lithuanians, Vietnamese and other Asian newcomers, while continuing to build services to the major Spanish-speaking ethnic populations.

Ongoing and Planned Evaluation Studies:

The proposed study, "An Evaluation of Title I of the Library Services and Construction Act," will begin in the fall of 1978 and be completed by October 1980, with interim findings available by October 1979. Final evaluations will show: how more than 20 years of Federal support have affected public library service in the United States; what changing funding patterns at State and local levels have resulted from the use of this legislation; what the location and demographic characteristics of library users and nonusers are; and how Title I has impacted on interlibrary cooperation, library personnel, and other related issues.

Sources of Evaluation Data:

1. Overview of LSCA Title I, by System Development Corporation, published by Bowker, 1968.

2. A Study of Public Library Service to the Disadvantaged in Selected Cities, Behavior Science Corporation, 1970.

3. Study of Exemplary Public Library Reading and Reading Related Programs for Children, Youth and Adults, by Barss, Reitzel & Assoc., Inc., 1972.

4. Basic Issues in the Government Financing of Public Library Services, Government Studies and Systems, May 1973.

5. Evaluation of LSCA Services to Special Target Groups, by System Development Corporation, July 1973.

6. The Public Library and Federal Policy -- by System Development Corporation, July 1973.

7. Various Library Desmonstration Projects: These projects are designed to survey and analyze the public library and information services to the American Indian, the aging, and the information needs of the rural and urban poor.

8. Program Operational Data.

For further information about program operations,

Contact: Mrs. Elizabeth Hughey
(202) 472-5150

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Interlibrary Cooperation

Legislation:

Library Services and Construction
Act, Title III, as amended by
P.L. 91-600 and P.L. 95-123

Expiration Date:

FY 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	$ 5,000,000	$ 375,000
	1968	7,500,000	2,256,000
	1969	10,000,000	2,281,000
	1970	12,500,000	2,281,000
	1971	15,000,000	2,281,000
	1972	15,000,000	2,640,500
	1973	15,750,000	7,500,000 1/
	1974	16,500,000	2,593,500
	1975	17,300,000	2,594,000
	1976	18,200,000	2,594,000
	Transition Quarter		648,000
	1977	18,200,000	3,337,000
	1978	15,000,000	3,337,000
	1979	20,000,000	5,000,000

Program Goals and Objectives:

The legislative purpose of the program is to establish and maintain local, regional, State or interstate cooperative networks of libraries and for the coordination of informational services of school, public, academic, and special libraries and information centers, permitting the user of any one type of library to draw on all libraries and information centers. The participation of one other type of library other than a public library is required for such service programs.

Program Operations:

The Library Service and Construction Act (LSCA), Title III, allocates funds to the States on a formula basis. Each State receives a minimum sum of $40,000, and the outlying territories $10,000, and the remainder is allocated by population. The State library agency must submit its Annual Program Plan (proposed expenditures of funds) before it can receive its

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1/ $4,770,000 of the FY 73 appropriation was impounded until FY 74. Actual FY 73 obligations were $2,730,000.

allocation. Title III does not require State or local matching funds, although many projects do have State and local funds along with LSCA funds.

Program Scope:

The FY 78 appropriation provided support for cooperative networks involving the sharing of resources among 7,575 libraries of at least two or more of the following four types: school, academic, public, or special. Based on the annual reports for FY 77, the table indicates how FY 77 funds were spent.

Category	No. of States Reporting	% of Total Expenditures
1. Telecommunications networks for reference and bibliographic services and interlibrary loan	46	59%
2. Centralized acquisition and processing materials	8	5%
3. Centralized listing of holdings of periodicals in institutions	22	4%
4. Comprehensive statewide planning	6	1%
5. Training of specialists in interlibrary cooperation	9	1%
6. Networking among States	16	1%
7. Combinations of above categories	28	29%

Program Effectiveness and Progress:

Program operational data indicate that participation by all types of libraries in telecommunications or information processing systems has increased. Also, planning within States as well as multi-State planning for coordination of library services is increasing. Cooperative local, State, and regional projects and networks appear to be increasing services to their clientele in a cost-effective manner.

A study of library cooperatives, networks, and demonstration projects was completed in April 1978, by Applied Management Sciences, Silver Spring, Md. It states, "LSCA III has impacted the development and expansion of library cooperation in a number of ways. LSCA III is a major driving force behind the development of multitype library cooperation and networking, primarily at the State level. Along with LSCA I, use of LSCA III has resulted in greater centralization of planning and administration of library services at the State and regional levels. LSCA III was credited as a major influence on State legislatures to modify or pass into law legislation favoring cooperation and networking. Activities and services to increase access to library resources and to provide librarians with needed continuing education were listed as the major outcomes of the cooperative and networking projects."

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

1. A Study of Library Cooperatives, Networks, and Demonstration Projects, by Applied Management Sciences, 1978.

2. Program operational data.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Library Resources

Legislation: Expiration Date:

Higher Education Act of 1965, Title II-A — FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$50,000,000	$10,000,000
	1967	50,000,000	25,000,000
	1968	50,000,000	24,522,000
	1969	25,000,000	25,000,000
	1970	75,000,000	9,816,000
	1971	90,000,000	9,900,000
	1972	18,000,000	11,000,000
	1973	75,000,000 (II-A&B)	12,500,000
	1974	85,000,000 (II-A&B)	9,975,000
	1975	100,000,000 (II-A&B)	9,975,000
	1976	100,000,000 (II-A&B)	9,975,000
	1977	110,000,000 (II-A&B)	9,975,000
	1978	115,000,000 (II-A&B)	9,975,000
	1979	120,000,000 (II-A&B)	9,975,000

Program Goals and Objectives:

The legislation provides grants to eligible institutions to assist and encourage them in the acquisition of library resources, including law library resources, such as books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials and other related materials (including necessary binding). For the purpose of this Act eligible institutions are defined as institutions of higher education and other public and private nonprofit library institutions whose primary function is providing library services to institutions of higher education on a formal cooperative basis.

Program Operation:

Three types of grants can be awarded to eligible institutions of higher education: (1) Basic grants of up to $5,000, provided that the applicant expends at least the same amount from institutional funds for library resources; (2) Supplemental grants of up to $20 per student, provided that the applicant meets the eligibility terms for a Basic grant; and (3) Special Purpose grants, unrestricted as to the amount requested but which must be matched with $1 of institutional funds for library resources for every $3 of Federal funds requested. For both the Basic and Special Purpose grant categories, applicants must meet maintenance-of-effort requirements in two areas--total library purposes and library resources--as follows: In the fiscal year of application, the applicant must expend, or plan to expend, an amount equal to or in excess of the average of the 2 fiscal years preceding the year of application for total library purposes; in the year of application, the applicant must expend, or plan to expend, an amount equal to or in excess of the average of the two fiscal years preceding the year of application for library resources. Under certain circumstances, a waiver may be granted from maintenance-of-effort requirements. In the case of Special Purpose grants, the matching share must be in addition to the base 2 year average for library resources institutional expenditures.

Program Scope and Effectiveness:

In FY 71-72, all grant funds were concentrated on the neediest institutions, on the basis of recommendations made by staff and the Commissioner's Advisory Council on Library Training. This approach was predicated on data indicating that most junior colleges and many urban institutions were far below national standards. However, the Education Amendments of 1972 prescribed that basic grants were to be awarded to all eligible institutions first.

In recent years priority among institutions has been given to the purchase of urban studies, ethnic studies, and career education materials. In FY 75 approximately 120 predominately black institutions were recipients of II-A grants.

In fiscal year 1977, 2,600 basic grants averaging $3,855 were made. A breakdown of types of materials purchased with this program's support indicated that 75 percent of the funds were used for acquisition of printed materials (books, magazines, pamphlets, etc.) and the remaining 25 percent for the nonprint materials (films, filmstrips, recordings, tapes, microfiche, etc.)

Grants by type of institution are:

FY 77	Number of Institutions
Colleges and universities	1,430
2-yr. colleges including vocational technical schools	1,145
Professional organizations and other nonprofit agencies	25
TOTAL	2,600

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Studies:

Program operational data

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Career Training

Legislation:

Higher Education Act of 1965,
Title II-B

Expiration Date:

FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$15,000,000	$ 1,000,000
	1967	15,000,000	3,750,000
	1968	15,000,000	8,250,000
	1969	11,000,000	8,250,000
	1970	28,000,000	4,000,000
	1971	38,000,000	3,900,000
	1972	12,000,000	2,000,000
	1973	(See HEA II-A College Library Resources Authorization)	3,572,000
	1974		2,850,000
	1975		2,000,000
	1976		500,000
	1977		2,000,000
	1978		2,000,000
	1979		2,000,000

Program Goals and Objectives:

The purpose of this program is to respond to the increasing need for professional personnel and the acute shortage of paraprofessionals, focusing on the recruitment of minority groups including women to serve in all types of libraries. Another thrust is the retraining of professional librarians and allied personnel in those new and developing areas (e.g., networking, service to the special clientele, middle management, and media utilization, etc.) to make those in the field more responsive to user needs. The fellowship program is directed at upgrading the skills of minorities, including women, by obtaining the capabilities needed to assume high level positions in library supervision, administration, and leadership.

Program Operations:

This program provides grants to institutions of higher education to support training and retraining of librarians and information scientists including paraprofessionals, for service in all types of libraries and information centers. Professional training is accomplished through short and long-term institutes, traineeships, and pre- and post-baccalaureate fellowships.

The Education Amendments of 1972, effective for FY 73 program operations, required that at least 50 percent of all program funds be used to support academic fellowships and traineeships. Also, other library agencies and associations other than institutions of higher education are now eligible to submit proposals for consideration.

Program Scope:

The fiscal year 1977 appropriation of $2,000,000 provided for (1) 40 grants totaling $1,112,500 to institutions in 25 States for fellowships and traineeships. The awards supported 112 trainees and 134 fellowships at the master's level, 3 at the post-master's, 18 doctoral, and 5 associates; and (2) 22 grants totaling $887,500 to colleges, universities, and education organizations to conduct institutes designed to train approximately 802 individuals.

Since 1966, $16,487,500 has been used to support the training of 13,571 library professionals and paraprofessionals in short and long-term institutes. Over $24,112,500 has been used to award 3,531 graduate fellowships during this period. In 1977, it is estimated that over 45 percent of the fellowships awards made by training institutions were to ethnic minorities.

Program Effectiveness and Progress:

Two formal evaluation studies of this program have been made. The first, in FY 1969 by the Bureau of Social Science Research, Washington, D.C., was restricted to the fellowship program. It was found at that time that all three types of graduate support (the master's, post-master's and Ph.D. programs) were accomplishing their intended goals of upgrading and increasing the supply of librarians; however, the study indicated that the master's program was the most effective of the three studied for bringing in new personnel to library areas outside the academic library field.

The second study was performed by Rutgers University, New Brunswick, New Jersey, and examined the institute program. Interviews were conducted with institute directors, Regional Program Officers, and the staff from the library bureau. It was found that the area of greatest institute impact is in the area of school media personnel (specialists who integrate print and nonprint resources with the formal learning experience).

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Overview of the Library Fellowship Program, by the Bureau of Social Science Research, Inc., of Washington, D.C., 1970.

Data Collection and Description of HEA Title II-B Institutes, by Rutgers, New Brunswick, New Jersey, 1972.

For further information about program operations,

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For further information about studies of program effectiveness,

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(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Research and Demonstration

Legislation:	Expiration Date:
Higher Education Act of 1965, Title II-B	FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967		$3,550,000
	1968		3,550,000
	1969		3,000,000
	1970		2,171,000
	1971		2,171,000
	1972		2,000,000
	1973	(See HEA-IIA College Library Resources Authorization)	1,785,000
	1974		1,425,000
	1975		1,000,000
	1976		1,000,000
	1977		1,000,000
	1978		1,000,000
	1979		1,000,000

Program Goals and Objectives:

The purpose of the program is to provide support for research and demonstration projects for the improvement of libraries and training in librarianship. Projects are funded which design quality educational opportunities for the educationally disadvantaged; provide improved information services to special target groups; improve administration of all types of libraries on a national basis; and improve information access.

Program Operations:

OE makes discretionary grants and contracts to public and private organizations and agencies including institutions of higher education.

The following are descriptions of areas of need either currently addressed or funded under the demonstration program:

1. Institutional cooperation: cooperation among academic, public, and special libraires and between them and other institutions; e.g., museums, community colleges, etc.

2. Improvement of library efficiency and general service development (software, hardware and organizational methods) to provide better user service.

3. Improving training in librarianship and in new technologies to provide better user service.

4. Service development, particularly to special target groups (aging, poor, ethnic, minority, rural, etc.)

Program Scope:

In fiscal year 1977, this program supported 18 projects. Six projects dealt with the use of computers in library operations, two in management, and one with removing barriers to innovation. Five projects dealt with service to disadvantaged groups. The remaining four were concerned with education and training programs for librarians serving children.

Program Effectiveness and Progress:

Since 1967, $23.65 million has been used for research and demonstrations relating to the improvement of library services. Present program focus is to move away from technical research and toward demonstrating patterns of interagency cooperation to provide better services to special groups. A study of library cooperatives, networks and demonstration projects was completed in April 1978 by Applied Management Sciences, Silver Spring, Md. It states "The HEA II B Research and Demonstration Program has had a significant impact upon the library and information community merely by virtue of its existence. The Program has provided millions of dollars for innovative research and demonstration, where previously there were very few funds available. It is the only Federal Program that as part of its effort, supports a wide range of research to improve public library services. The Program has generated new knowledge about innovative approaches to networking, serving special target groups, utilizing community resources, and new technology. Several projects have been successful locally and a few have had national impact, such as the series of projects which contributed to the development and improvement of the Ohio College Library Center (OCLC)."

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

1. A Study of Library Cooperatives, Networks and Demonstration Projects, by Applied Management Sciences, 1978.

2. Program operational data.

For further information about program operations,

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For further information about studies of program effectiveness,

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Research Library Resources

Legislation:	**Expiration Date:**
Higher Education Act of 1965, Title II, Part C	FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$10,000,000	-0-
	1978	15,000,000	$ 5,000,000
	1979	20,000,000	6,000,000

Program Goals and Objectives:

The legislation provides grants to major research libraries for the purpose of promoting research and education of higher quality through the maintenance and strengthening of their collections and making their holdings available to individual researchers and scholars outside their primary clientele and to other libraries whose users have need for research materials. For the purpose of this Act major research library means a public or private nonprofit institution including the library resources of an institution of higher education, an independent research library or a State or other public library having library collections which are available to qualified users and (1) make a significant contribution to higher education and research (2) are broadly based and are recognized as having national or international significance for scholarly research (3) are of a unique nature and contain material not widely available and (4) are in substantial demand by researchers and scholars not connected with that institution.

Program Operation:

Not more than 150 institutions may receive a grant under this part in a single fiscal year. No institution receiving a grant under this part may be eligible to receive a basic grant under Title II, Part A, of the Act in the same fiscal year. A reasonable effort will be made to achieve a regional balance in the allocation of funds. Each institution is limited to one application which may include more than one project. Funds provided may be used for the acquisition of books and other library materials; binding, repairing, and preserving books and other library materials; cataloging, abstracting, and making available guides of library collections; distributing materials and bibliographic information to users beyond primary clientele; acquisition of equipment, supplies, and communication expense; hiring necessary additional staff to carry out funded activities.

Program Scope and Effectiveness:

In FY 1978 20 awards for 34 projects were funded. The grants range in size from $70,216 to $675,000. Each of the II-C Regions are represented on the award list. Nine of the projects are competing continuation projects designed to be carried out over a two to three year period. An additional 5 institutions will receive assistance under the awards as subgrantees. Of the 20 grantees, 12 are university libraries, 5 are independent research libraries, 2 are public libraries, and 1 is a State library. Two main thrusts of the recommended projects are collection development and resource sharing capability.

Ongoing and Planned Evaluation Studies:

None

Sources of Evalution Studies:

None

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Undergraduate Instructional Equipment

Legislation:

Higher Education Act of 1965,
Title VI-A

Expiration Date:

FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$37,500,000	$ 15,000,000
	1967	60,000,000	14,500,000
	1968	70,000,000	14,500,000
	1969	14,500,000	14,500,000
	1970	70,000,000	-0-
	1971	70,000,000	7,000,000
	1972	70,000,000	12,500,000
	1973	70,000,000	12,500,000
	1974	70,000,000	11,875,000
	1975	70,000,000	7,500,000
	1976	70,000,000	7,500,000
	1977	70,000,000	7,500,000
	1978	70,000,000	7,500,000
	1979	70,000,000	-0-

Program Goals and Objectives:

The legislative objective of this program is to assist undergraduate programs to improve the quality of their instructional equipment (including closed circuit television) and to assist in remodeling associated with the installation of such equipment.

Program Operations:

Program funds are allotted by formula to the States based on State per capita income and enrollment in institutions of higher education within the State. State commissions, broadly representative of higher education in the State, develop their own plans, establish priorities, and criteria, set deadlines, conduct workshops, work directly with institutions in preparing the proposals, review proposals and assign them priority ranking for funding. OE makes final approval of grants and, in cooperation with State commissions, handles administration, including close-outs.

This program provides funds on a matching basis (States' average must equal 50 percent) for acquisition in two categories: Category I, instructional equipment materials, and minor remodeling; Category II, closed circuit television equipment, materials, related remodeling. Separate State allotments are made for each category.

Program Scope:

In fiscal year 1977, 825 institutions were awarded grants. It is estimated that 75 percent of the recipients were public institutions and 25 percent were private higher education institutions. Eighty percent of the appropriation supported Category I materials, and 20 percent supported Category II equipment.

Program Effectiveness and Progress:

Approximately $132.4 million has been allotted since 1966 to academic institutions for the purchase of general instructional equipment, closed circuit television (CCTV) equipment, and some minor remodeling accompanying these purposes. Particularly significant is the climbing rate of expenditures for CCTV: 1966-1974: 12 percent; FY 77: 20 percent.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program operating data

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Broadcasting Facilities

Legislation:	Expiration Date:
Communication Act of 1934 Part IV Title III P.L. 94-309 (as amended by 47 USC 390 et seq).	FY 1978 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	$ 32,000,000	$ 13,000,000
	1966	for 5-year	8,826,000
	1967	period 63-67	3,304,000
	1968	10,500,000	-0-
	1969	12,500,000	4,000,000
	1970	15,000,000	4,321,000
	1971	15,000,000	11,000,000
	1972	15,000,000	13,000,000
	1973	25,000,000	13,000,000
	1974	25,000,000	15,675,000
	1975	30,000,000	12,000,000
	1976	30,000,000	12,500,000
	1977	30,000,000	15,000,000 2/
	1978	30,000,000	19,000,000 2/
	1979	1,000,000	1,000,000 3/

Program Goals and Objectives:

The legislative purpose of the program is to provide support, through matching grants (75 percent of the cost of eligible items necessary to the project) for the acquisition and installation of transmission apparatus required by noncommercial broadcasting stations to meet educational, cultural, and information needs of Americans, both in homes and schools.

1/ Extended 1 year through GEPA

2/ Includes $1 million for the Telecommunications Demonstration Program, administered under the Assistant Secretary for Planning and Evaluation/HEW (Sec. 392A).

3/ S 2883 and HR 12605 propose transferring Educational Broadcasting Facilities Program to the Department of Commerce with an authorization of $40 million for the next 3 years for planning and construction of public telecommunications facilities. Authorization for the Demonstration Program would remain with HEW at $1 million.

The program goals and criteria stipulated in the legislation (Sec. 390 and 392 Sec. 6(d) (1) (A) (B) (C) and (2) (A) (B) and (C) are: (1) extend noncommercial broadcast services, with due consideration to equitable geographic coverage through the United States; (2) strengthen the capability of existing noncommerical broadcast facilities to broaden educational uses. In order to achieve these objectives, the program stimulates the growth of noncommercial broadcast stations technically capable of providing adequate program services to communities; and (3) encourages statewide and regional planning and coordination of telecommunications capabilities to utilize fully the potential of public broadcast systems.

Program Operations:

Upon receipt of applications, OE awards grants consistent with achieving the goals and objectives of the program. Under existing legislation eligible grantees include: the agency responsible for public education within a State or political subdivision, the State education television and/or radio agency, a public or private nonprofit college or university, or other education or cultural institution affiliated with an eligible college or university, a nonprofit entity organized primarily to operate an educational television or radio station, and a municipality which owns or operates a facility used only for noncommercial educational broadcasting.

Noncommercial broadcasting serves the public interest by providing additional educational opportunities for preschool amd school-age children, and for adults. About 30 percent of noncommercial television time is devoted to instructional programming to enrich teaching in the classroom.

Local public radio and television stations are also being called upon to use the broadcast medium to focus on matters of national concern such as nutrition and health, the environment, energy concerns, consumer services, drug abuse, and mental health. In addition they are producing programs dealing with issues such as unemployment, welfare, law enforcement, and other local concerns.

Program Scope:

In fiscal year 77, 100 noncommercial Educational Radio (ER) and Educational Television (ETV) stations received grant support under this program. Forty-seven grants were for ETV: 7 grants for new activations and 40 grants for expansion and improvement of existing facilities. The remaining 53 grants were made to ER stations and represented 8 new starts and 45 grants for upgrading existing facilities. The total number of noncommercial television stations on the air or under construction increased from 76 in 1963 to 273 by the end of FY 1977. During this same period 330 matching grants were awarded to existing stations to improve or expand their facilities.

The number of full-service public radio stations in the country has increased from 67 in 1969, when Federal assistance to noncommercial radio stations was first made available, to 195 on-the-air or under construction at the end of FY 77. 164 grants were awarded to existing radio stations to expand and/or improve their facilities.

Program Effectiveness and Progress:

The 1962 authorizing legislation provided for matching grants to help local communities develop noncommercial television broadcast facilities to serve the educational, cultural, and informational needs of Americans in their homes and schools. The Public Broadcasting Act of 1967 extended the enabling legislation and included radio stations as eligible for Federal assistance. A Congressional Declaration of Policy issued with the passage of the 1967 Act stated: "It is necessary and appropriate to support a national policy that will most effectively make noncommercial educational radio and television service available to all citizens of the United States."

By 1977, 273 of the 666 television channels reserved for noncommercial purposes were being utilized. The on-air stations, when fully activated, will be able to reach up to approximately 80 percent of the U.S. population. For the following reasons it is estimated that only 65 percent of the "potential" viewers actually receive a clear and usable television signal: (1) Many home sets receive only the VHF Channels; (2) Stations operate with power too low to reach all residents within the community;and (3) Signal interference exists in areas with hilly terrain and tall buildings. Among the existing ETV stations, nearly one-third do not have adequate reproduction capability to permit the local programming flexibility; and about the same number are unable to originate programs in color at the local level.

Today, 195 full-service public radio stations are capable of providing programming to potentially 65 percent of the U.S. population. Many of these potential listeners are also unable to receive the public radio station in their community for the following reasons: (1) Many home radios and most car radios are AM only, while approximately 95 percent of all public stations operate in the FM band; (2) Stations operate at lower than authorized power, reduced power at night, or during the daytime only; (3) Signal interference; and (4) Station towers are less than the maximum allowable heights.

Many local noncommercial broadcast stations are now able to receive the network program services provided TV stations by the Public Broadcasting Service (PBS) and radio stations by National Public Radio (NPR). The program offerings to these stations have been highly beneficial. It has enabled them to devote a greater amount of their resources to local quality productions. According to a 1974 Public Broadcasting Service (PBS) survey, 43.4 percent of the programming of a public TV station is devoted to general programs (16.0 percent information and skills, 12.5 percent children's, 12.3 percent cultural, and 2.6 percent other); 29.5 percent to ITV; 16.7 percent to Sesame Street/Electric Company (6.3 percent shown in homes, 10.4 percent in schools); and 10.4 percent to news and public affairs.

The Educational Broadcasting Facilities Program (EBFP) utilizes studies conducted by the National Center for Education Statistics in the continuing process of awarding Federal assistance grants and in the planning and development of needed broadcast facilities. Basic data are collected in five areas: (a) financial and programming, (b) employee, (c) station and transmission facilities, (d) broadcast data, and (e) management personnel. The program continues to identify new data needs by keeping in close communication with all organizations which carry out research in the field of telecommunications.

A 1974 study for the Office of Education performed by Battelle, Columbus, Ohio, entitled A PLANNING STUDY -- THE FUTURE OF EDUCATIONAL TELECOMMUNICATIONS, concluded that public telecommunications has great potential, but to fulfill that potential there is a need for re-examining goals, broadening current guidelines to take advantage of new technology, improving distribution capabilities, and setting minimum standards for production facilities. For the EBFP program it was recommended that primary emphasis be focused on extended and improved transmission, and the funding of production capabilities must be carefully balanced between the need for substantial pools of talent and equipment and the desire for local activity.

Ongoing and Planned Evaluation Studies:

Currently, HEW is the primary funder of AREAPOP II, a study on public television coverage conceptualized by the Public Broadcasting Service. AREAPOP II will link information on stations' actual transmission patterns with demographic data on their potential viewers. The study will provide information which is critical for facilities planning and program development. In addition, the study will also allow for follow-on simulation activity which will predict how given changes in a station's transmission facilities will affect the station's coverage.

Sources of Evaluation Studies:

1. Educational Broadcasting Facilities Program historical operating

2. Surveys of existing facilities made by the National Center for Education Statistics (Assistant Secretary for Education)

3. Corporation for Public Broadcasting, Washington, D.C., surveys and studies

4. National Association for Educational Broadcasting, Washington, D.C., research studies

5. Public Broadcasting Service, Washington, D.C., surveys and studies

6. National Public Radio, Washington, D.C., surveys and studies

7. The Future of Educational Telecommunications, A Planning Study by George W. Tressel et al. Battelle Memorial Institute, Lexington Books, 1975.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Television and Radio Programming Support

Legislation:	Expiration Date:
Special Projects Act Section 402 (P.L. 93-380)	FY 1978 1/

FUNDING HISTORY

YEAR	AUTHORIZATION	APPROPRIATION 2/
1972	Indefinite	$ 7,000,000
1973	Indefinite	6,000,000
1974	Indefinite	3,000,000
		1,000,000 3/
1975	Indefinite	7,000,000
1976	Indefinite	7,000,000
Transitional Quarter		1,600,000
1977	Indefinite	7,000,000
1978	Indefinite	5,000,000
1979	Indefinite	6,000,000

Program Goals and Objectives:

The OE goal for this program is to carry out the development, production, evaluation, dissemination, and utilization of innovative educational television and radio programs designed (for broadcast and/or nonbroadcast uses) to help children, youth, or adults to learn. The legislative flexibility of the Special Projects Act permits the Office of Education to initiate a direct Federal funding approach in educational television and radio programming broad enough to include a range of activities, from creative planning and development to installation and utilization of programs which have clear potential for helping people to learn.

Program Operation:

OE administration of educational television and radio programming activity provided contract or grant support (contracts only from FY 76 on) for educational programming, including the planning, production, evaluation, dissemination, and utilization of programs. Utilization includes activities and materials

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1/ Extended 1 year under the General Education Provisions Act.

2/ Funding from 1972 through 1975 under the Cooperative Research Act, Title IV (P.L. 83-531)

3/ Impounded funds released in FY 1974.

designed to enhance and reinforce the effectiveness of programs as used in formal and informal educational settings, including the development and implementation of a series of strategies in specific community settings which tap the energy and concern of parents, teachers, and others for using television and radio as a positive force in educational development.

Program Scope:

In FY 1977, a contract for $5 million was awarded to the Children's Television Workshop (CTW), producers of Sesame Street and The Electric Company, for partial support of production, formative evaluation, dissemination, and utilization activities. From the beginning, the focus of Sesame Street has been to provide the Nation's 3, 4, and 5-year-olds with a supplementary educational experience to help them prepare for school with some of the basic building blocks of learning. The Electric Company series is targeted at 7- to 10-year-old children functioning below grade level in reading.

The 130 one-hour Sesame Street programs and 130 half-hour The Electric Company programs are shown twice a day on the 268 public broadcasting stations (plus commercial stations in areas not served by public television) in many areas and repeated on weekends. The audience of Sesame Street is estimated at 9 to 10 million children, mostly 3 to 5-years old. The audience for The Electric Company is estimated at 6 million students with approximately 3 million in grades two to four viewing the programs in classrooms.

Although there will be no new production for The Electric Company, the programs will continue on the air in repeat for some time to come. Awarded its third Emmy in May 1977 as "The Outstanding Children's Informational Series on Television," it entered repeat broadcasts with a strong classroom following. CTW intends to monitor the impact of repeat broadcast scheduling.

The remaining $2 million was divided among six contractors. Applied Management Sciences received $1,342,000 to continue production of the parent education series, "FOOTSTEPS." This series focuses on different aspects of raising young children -- such as discipline, sensory stimulation, family and sibling relations. Broadcast over the Public Broadcasting Service begins in January 1979.

The Educational Film Center, Springfield, Virginia, received $332,165 to produce a pilot, "The Storytellers," to produce and evaluate one half-hour program that uses American myth and folklore to convey information about this country's diverse cultural heritage. Geared for people of all ages, the program will be field tested across the Nation. Educational Film Center will also produce a viewer's guide and plan the additional programs for the series.

KLRN-TV, Austin, Texas, received $232,405 to upgrade 3 of 12 existing programs for possible national dissemination, targeted at children 5 through 8. Each CABOODLE program is dedicated to bringing a multisensory world into the classroom, yet a world made comprehensible - by giving form; i.e., each program gives form to the limitless varieties of sensory experience by devoting each program to a different arts element that organizes relevant sensory images and directs the viewers' attention to their transformation in the arts.

Association Films, Inc. Arlington, Virginia and Ommicon Labs of Michigan received $63,426 in contracts to make available on free loan the 16 mm films in the 10-part MUSIC series. WETA/TV, Washington, D.C., was awarded $30,000 to complete production of the MUSIC programs. This series was originally funded in FY's 1975 and 1976 and was broadcast over the Public Broadcasting Service in adult time beginning in October 1977 and rerun beginning in January for inschool use. The Teacher Guide for the series has been reprinted by many State departments of education and local school systems for continued use.

Program Effectiveness and Progress:

OE has expended over $75 million in educational television programming from FY '68 through '78. The bulk of these expenditures has been for support of Sesame Street, The Electric Company, and such Emergency School Assistance Act (ESAA-TV) programming as Villa Alegre and Carrascolendas.

A study was initiated by OE because there is no clear and consistent policy regarding Educational Television Programming Support. The objectives of this study, conducted by The Institute for Communication Research, Indiana University, were (a) to review past and present programming support activities (including ESAA-TV), (b) to study secondary sources of information; e.g., professional literature, interviews of experts in the field of purposive programming including those actively involved in program development, and (c) utilizing these sources of information, to give an assessment of present OE activities and suggest alternatives for future program directions. The contractor found that OE policy is inconsistent and unclear, particularly when viewed from the perspective of several consecutive years in which program policy has changed annually. From the evidence developed in this study, the following conclusions can be derived: (a) the channel of communication between policy makers and program managers is poor, as evidenced by policy decisions made with minimal involvement of program managers and managers attempting to run the program without a full understanding of the policy rationale; (b) the traditional funding period for developmental grants and contracts (a maximum of 3 years) is probably adequate for program development but provides no means by which a successful product can be marketed; (c) allocation of fiscal resources is inequitable, i.e., the legislatively mandated allocation of funds to CTW leaves little flexibility for support of other purposive programming.

In 1977, Applied Management Sciences conducted a national survey to assess the public's concerns about parent education and to assess the general issues and concerns for future educational television programming decisions. These data are being used as guidance in the production of "Footsteps." Data was collected in three ways: (1) five focus group interviews in five different cities; (2) interviews with 48 professionals whose viewpoint included observation of public trends in social sciences; and (3) a representative sampling of 1300 American households. Five topics emerged as common concerns of all groups. They were: (1) parent education, child development, and family life; (2) economic/vocational skills and attitudes; (3) health and nutrition; (4) interpersonal relationships; and (5) values and morality. In general, the groups had some reservations about the ability of current television programming to handle these topics, but expressed optimism about television's potential to address serious social concerns. Most respondents associated good programming with public broadcasting. The study also found that good programming must include massive promotional campaigns and positive images of different kinds of people in different kinds of situations.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

1. The Federal Role in Funding Children's Television Programming, by Keith Mielke, Barry Cole, Rolland C. Johnson, Indiana University 1975.

2. Sesame Street Revisited, by Thomas D. Cook, Hilary Appleton, Roos F. Conner, Ann Shaffer, Gary Tamkin, and Stephen J. Weber, Russell Sage Foundation, N.Y. 1975.

3. An Assessment of Parent Education and General Needs for Educational Television, Applied Management Sciences, Silver Spring, Md., 1977.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Right-To-Read and The National Reading Improvement Program

Legislation:

National Reading Improvement Program, Title VII, P.L. 93-380, as amended by P.L. 94-194

Expiration Date:

FY 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ Indefinite	$ 2,000,000
	1972	Indefinite	12,000,000
	1973	Indefinite	12,000,000
	1974	Indefinite	12,000,000
	1975	Indefinite	12,000,000
	1976	118,800,000	23,800,000
	1977	139,200,000	26,000,000
	1978	144,200,000	27,000,000
	1979	144,200,000	27,000,000

Program Goals and Objectives:

Right-To-Read is a national effort for developing and improving the reading skills of all citizens, enabling each to function effectively in our society.

It is both a legislated program and a coordinated national endeavor for promoting the involvement of all segments of society, both public and private, to ensure that in the next decade no American shall be denied a full and productive life because of an inability to read effectively.

In pursuing its goal, Right-To-Read:

- encourages the established educational agencies and teacher preparation institutions within a State to exert a coordinated and cooperative effort to solve the literacy problem through the efficient usage of the economic and human resources available within the State
- recommends a systematic process for assessing literacy needs and for developing and implementing programs to meet those needs
- provides financial assistance to local educational and nonprofit organizations for instructional programs and to State agencies for leadership and training activities

- identifies and disseminates pertinent and useful information relative to effective reading techniques, materials, instructional approaches, and organizational designs

- provides technical assistance in planning and implementing instructional and staff development programs

- enlists the involvement and support of the private sector and of government agencies for activities which impact on literacy needs

Program Operation

The Right-To-Read Effort involves administering Title VII, Public Law 93-380, as amended by Public Law 94-194, which includes the following components:

State Leadership and Training Programs

These programs provide training for local Right-To-Read administrators and allow State agencies to exert leadership in achieving a solution to the literacy problem of the State. Agreements are entered into with State education agencies for the purpose of carrying out coordinated leadership and training activities designed to prepare personnel throughout the State to conduct projects which have been demonstrated in that State or in other States to be effective in overcoming reading deficiencies. These activites are limited to (1) assessments of need, including personnel needs, relating to reading problems in the State, (2) inservice training for local reading program administrators and instructional personnel, and (3) provision of technical assistance and dissemination of information to local educational agencies and other appropriate non-profit agencies.

Reading Improvement Projects

The purpose of these projects is to develop and implement innovative reading programs for preschool and elementary school children. The preschool component is new to the Right-To-Read thrust. Both preschool and elementary programs are based on the diagnostic/prescriptive approach to reading instruction and place emphasis on early prevention of reading difficulties and the achievement of developmental objectives.

A major emphasis is placed on staff development and on meeting the individual needs of all children. State and local educational agencies, nonprofit private schools, public and private nonprofit agencies, and other cultural and educational resources of the community may initiate or expand these reading programs in schools having large numbers or a high percentage of children with reading deficiencies.

Special Emphasis Projects

This component of Title VII is designed to measure the effectiveness of reading specialists and reading teachers providing intensive reading instruction for elementary school children in a classroom setting. In local school districts sponsoring these projects, the intensive reading instruction is provided in an experimental school, while regular reading instructional practices are maintained in a matched control school. The two schools must serve populations with similar characteristics, and the reading approaches and curricula must be similar. A study is currently being conducted by the Office of Planning, Budgeting & Evaluation to evaluate this component. A first-year evaluation of the Special Emphasis projects was completed in April 1978; two other annual reports are planned for the study.

Reading Academies

This program provides reading instruction for in-scas well as out-of-school youths and adults not normally served by traditional local reading programs. It involves the utilization of institutions and community-based groups not ordinarily used as sponsoring agencies to provide reading instruction. The central academy recruits students, trains tutors, and provides the needed logistical support for instruction which is frequently provided on an individualized basis. Satellite academy centers established by the central academy rely heavily on the services of trained volunteers to tutor adults. Intensive recruitment efforts are made to stimulate individuals to join the reading academies for a year as tutors.

Inexpensive Book Distribution Program

A continual effort is being made throughout the Nation to achieve an awareness and an active involvement on the part of private sector agencies, which have much to offer in terms of support and services in the quest for bringing literacy to all citizens. Under Public Law 94-194, Section 726 (The Inexpensive Book Distribution Program), the U.S. Commissioner of Education is required to issue a contract to a private nonprofit group or public agency to provide an inexpensive book distribution program. This contract was awarded to Reading is Fundamental, Inc., in the fall of 1976.

The purpose of this contract is to provide reading motivation programs which include the distribution of books by gift or loan to children in pre-elementary, elementary, or secondary schools. The contractor establishes subcontracts with private nonprofit groups or public agencies that agree to establish, operate, and provide the non-Federal share of the cost of reading motivation programs. The contractor also provides technical assistance to the subcontractors engaged in the process of establishing, operating, and providing the non-Federal share of the cost of reading motivational programs.

National Impact Program

The National Impact Program was added to Title VII through the amendments of Public Law 94-194. This component of the program permits the development and dissemination of projects which show promise of impacting significantly on the reading deficiencies of the Nation. The following projects are provided for on a contractual basis and supplement the other program components of Title VII:

1) Dissemination Reports on Successful Practices in Reading

A contract is being developed to provide a series of six reports to be written and disseminated; each report deals with a specific topic related to reading and reading instruction.

2) Dissemination Seminars on Reading

A contract was developed through the Small Business Administration for providing a National conference on literary to provide focus and dissemination to critical issues in literacy. The conference was held in May 1978.

3) Right-To-Read Elementary Principals Training Program

The second phase of a contract has been awarded to Meta-4, a minority business corporation, to produce in audiovisual and print format a series of modules designed to provide training in reading leadership for elementary principals. By Summer 1979, a total of eight modules are projected for completion. Former Right-To-Read technical assistants have been involved in the design and development of this training program. Future plans include dissemination and training through the State leadership and training effort.

Program Scope

The FY 78 appropriation of $27 million represents a slight increase over the FY 77 level of $26 million.

Activity	Number of Grants/Contracts 1/	Amount 1/
State Leadership Program	54	$ 5,500,000
Reading Improvement Projects . . .	125	8,100,000
Reading Academies	68	5,330,000
National Impact Projects	6	800,000
Special Emphasis Projects	7	1,000,000
Inexpensive Book Distribution . .	1	6,000,000
Evaluation	1	270,000
TOTAL	262	$27,000,000

1/ Estimated: Final numbers and amounts available September 30, 1978.

Program Effectiveness and Progress

1. Evaluation of School-Based Right-To-Read Sites (October 1973).

The main purpose of this study was to establish whether school-based Right-To-Read projects have met their criterion of one month gain in reading achievement for each month of reading instruction. To test this, data were gathered from a sample of school-based projects located in a senior high school, junior high schools, and several elementary schools.

Twenty-eight of the 44 school-based projects met or exceeded the Right-To-Read criterion of satisfactory reading progress of one month gain in reading achievement for each month of reading instruction. Sixteen projects failed to achieve this objective, but some of this apparent failure may be attributable to inadequacies in local evaluation procedures, such as failure to obtain pre- and post-test data on the same students and the use of different reading tests when pre- and post-measures were taken.

The analysis of overall grade level gains indicates that upper grades (7-9) did not show reading gains to the same extent as did elementary grades. It may be that factors accounting for reading gains at elementary grade levels are not as effective at upper levels.

The findings showed a lack of programs being implemented at the first grade level. Since much reading activity takes place in the first grade, projects funded under Part A, Title VII, should place emphasis on the establishment of reading programs in the first grade.

Emphasis should be placed on classrooms that involve single grade levels only. The data suggest that where more than one grade level was included under a single teacher in a single classroom, learning did not take place to the same degree as in single grade level classes.

2. An Evaluation of the Community-Based Right-To-Read Program (September 1974).

The purpose of this study was to evaluate a sample of 24 Community-Based Right-To-Read Projects drawn from a group of 73 funded projects and including those that served "in school" youth (school projects) and "out of school" adults (adult projects). Evaluation objectives were: (1) to measure the improvement in reading achievement, and (2) to analyze the relationships between achievement and program, staff, and student characteristics. Data used to evaluate these objectives were collected on-site through pre- and post-tests and various survey, interview, and observation instruments.

The findings from analyses of student projects indicated that, overall, students gained significantly in reading skills during the 5-month pre/post test period. The greatest gain was achieved by students in classroom projects operating within the regular school context, as opposed to those operating outside of school or outside of school hours. While significant differences were found among the individual projects, no consistent differences were found to relate to specific programmatic features. The findings from analyses of adult projects indicated many of the same relationships.

In attempting to determine specific project characteristics that are associated with reading gains, very few definitive conclusions were reached. No significant differences were found among adult projects by type of service delivery system. English as a Second Language classes, paid tutoring projects, and volunteer tutoring projects are all able to provide effective instruction. In regard to the retention and attendance of participants in adult projects it was found that: (1) nonattendance was the primary reason for termination; and (2) regular attendance was positively related to gains in reading achievement.

These outcomes suggest that in the Reading Academies funded under Title VII: (1) considerable flexibility in determining the appropriate instructional strategy or system can be encouraged and (2) attendance schedules could be developed that will optimize the hours of instruction in terms of participants' available time.

Finally, in regard to project costs, the study revealed that adult projects had widely varying costs per student and costs per instructional hour ratios with no apparent direct relationship between cost and reading gain. It seems reasonable to suggest that guidelines or ranges of cost per student and cost per instructional hour ratios be established for planning purposes so that Academies will have standards for efficient budgeting.

3. Assessment of the State Agency Component of the Right-to-Read Program (June 1976).

In this study, Applied Management Sciences investigated the various activities and processes of State Agency Right-To-Read Programs, in order to determine what effect programs have had at the State educational agency and local educational agency level in the 31 States which entered the Right-To-Read Program during either 1972-73 (Phase I) or 1973-74 (Phase II of this effort). Data were collected in visits to the 31 State departments of education, three local educational agencies randomly selected from those LEA's in the State that had participated in the Right-To-Read Program for at least one year, and a mail survey of a 50 percent sample of LEA Right-To-Read Directors within each State whose programs had been affiliated with Right-To-Read for at least one year. In addition, case studies were developed which describe how these programs operate in these 31 States.

The results of this study can be summarized in one statement: the approach taken by Federal administrators responsible for the State component of the Right-To-Read Program appears to have been successful in that the programs have achieved meaningful effects utilizing a relatively modest amount of money. Because of the similarity of data obtained across the 31 States, it may be concluded that, for the most part, the States have adopted the 16 national objectives as a viable strategy and have implemented them and their underlying activities in the same manner across the 31 States. Thus, the training and support activities provided by National Right-To-Read, and the comparatively little money provided to the States, have provided substantial impetus in developing viable State strategies in reading.

A number of outcomes from this study, identified below, support this conclusion. It should be noted that none of these outcomes relates directly to reading achievement on the part of students. This study was designed solely to assess the type and level of activities which have been fostered by the State component of Right-To-Read funding.

- State Right-To-Read Programs have made considerable efforts to involve large numbers of local districts in Right-To-Read.

- Training of teachers and LEA coordinators has been a major focus in the State Right-To-Read Programs.

- Data indicated that Right-To-Read will continue in many States even in the absence of Federal funds.

- Reading has been established as a top priority in State education agencies and in local education agencies.

The results of this study also indicated that there are several areas of the Right-To-Read Program in which improvement is needed. The findings which suggest areas of need for improvement are summarized below:

- Local district Right-To-Read programs showed local district directors desired changes in technical assistance delivery. While the directors' initial orientation to Right-to-Read was effective, current technical assistance does not meet their present needs.

- Coordination of Right-To-Read with Adult Basic Education was found lacking in local districts, but adequate at the State level.

- To maximize effectiveness of the Right-To-Read Program, more effective communication links need to be established between the SEA component of Right-To-Read and LEA classroom teachers. Responses to questions addressed to LEA teachers and administrators as well as to SEA personnel led to this conclusion.

- The State Right-To-Read Task Force, set up by Right-To-Read Program regulations, appeared to be functioning at a minimum level in many States. Supposedly designed to serve as a coordinating unit for reading activities stemming from other SEA programs, data indicated that the State Right-To-Read Director and the State Assistant Superintendent for Instruction were performing coordinating activities, rather than the Task Force.

- Though it is a stated responsibility for State Right-To-Read Advisory Councils, these bodies were not effective in dissemination activities or in winning public support.

- Distribution of Right-To-Read services to local districts was not in agreement with national guidelines. The national guidelines specify selection of local districts for participation in Right-To-Read on the basis of geographic representation, student population, and needs assessment. However, the major criterion used to select almost two-thirds of the local districts for participation was their willingness to comply with the terms of the agreement/contract and enter the Right-To-Read Program.

- Program evaluation by SEA's was not linked to the timely accomplishment of objectives. SEA's did not emphasize assessing accomplishment of local district objectives according to a planned schedule. This must be considered a severe program weakness.

4. Evaluation of the Right-to-Read Special Emphasis Projects (First Year Evaluation), (April 1978).

The purpose of this study was to evaluate the effectivness of eight Special Emphasis Projects as defined in Public Law 93-380, Section 721, and amended by Public Law 94-194, Section 10. Special Emphasis Projects were authorized under this legislation to determine, over a three-year period, if the use of reading specialists, reading teachers, and intensive summer reading programs would impact on children's ability to learn to read.

The legislation calls for a demonstration project including:

1. The teaching of reading by reading specialists for all children in grades one and two.

2. The teaching of reading by reading specialists for children in grades three through six who are experiencing reading problems.

3. The determination of the effectiveness of intensive instruction by reading specialists.

4. The provision of a vacation reading program.

5. Authorization for the Commissioner to contract with local education agencies.

Accordingly, local districts which wished to participate were required to assure that:

- All first and second graders in the experimental school would receive intensive reading instruction;
- All students in grades three through six in the experimental school who had reading problems would be given intensive instruction in reading;
- An intensive summer program would be available for the project school students who were performing below grade level, and this service would not be available to the control school children;
- They would cooperate with an external evaluation to be conducted by the Commissioner or his/her contractor; and
- The instructional plan would be formulated through consultations with many parties, including the district administration, parents, and faculty of the project school, and that this plan would include a diagnostic/prescriptive approach and be part of a comprehensive reading program in the project school.

Overall, the regulations were comprehensive and responsive to the legislation and the original intent of its sponsors. However, the combined effect of the legislation and the regulations has precluded conducting a rigorously controlled experiment. Some of the factors involved are:

- The diversity of instructional approaches and the use of mediated reading systems at some sites (e.g. DISTAR, Precision Teaching System).
- Use of prior-assigned reading specialists at some control school sites.
- Supplemental funding and resources available to control sites from non-NRIP sources, such as Title I.
- Use of teacher aides at both experimental and control sites.
- The use of assistance contracts (rather than procurement contracts) minimized the level of programmatic control that USOE could exercise.

The first year's interim report emphasizes the inconclusive nature of the longitudinal study thus far, primarily because of severe delays in funding and startup, which has resulted in an effective net implementation of only one semester, instead of a full year. Combined with the acknowledged large range of the standard error in the key test instrument (Stanford Diagnostic Reading Test), any conclusive assessment would be unwarranted until later test results are processed and analyzed. With these significant caveats in mind, it has been observed that those sites with some apparent reading achievement gains among the experimental population (compared to the control school's gains) were those sites that responded rapidly in the first year in establishing a cooperative rapport among the teaching staff to implement the Special Emphasis program. The day-to-day involvement of the site project director has been seen as a major element in the successful functioning of the first year's activity at some sites.

Improvement is needed in several areas of the continuing study:

- More aggressive monitoring of all sites to ensure compliance to the legislation and regulations.
- On-site project management must be more responsive to existing and potential conflict situations among the staff.
- The site project director must be at the experimental schools a minimum of half-time.
- Enrollment at the summer school programs must be increased.
- Summer school minimal standards are needed.

Ongoing and Planned Evaluation Studies

A contract was let in July 1976 for the purpose of determining the information requirements of the National Reading Improvement Program. The goals of this study are: (1) to establish the specific National Reading Improvement Program management information requirements for a management information system; and (2) to design and implement a manual/automated system that will satisfy the requirements. The attainment of these goals will enable the program to meet the mandated annual evaluation requirements as stated in Part D of Title VII. The "Study Design Specifications" report of this study was completed July 1977. Implementation of the system has been delayed pending final clearance of use requirements by the Educational Data Acquisition Council (EDAC) under provisions of GEPA, Sec. 406gAi.

As part of this same contract, the contractor has been performing two additional tasks. One was evaluation of the eight Special Emphasis Projects funded in FY 76. To determine the effectiveness of intensive reading instruction provided by reading specialists in the classroom setting, standardized reading test scores and parent, student, and school personnel attitudinal and program process data have been collected. The first year evaluation was reported in April 1978; a second year's evaluation report was due in December 1978; and a final evaluation report is planned for December 1979. The other task was to provide OE with a design and instruments for an evaluation of the Inexpensive Book Distribution Program. That evaluation effort began in September 1978.

Sources of Evaluation Data

1. The Information Base for Reading, 1971.
2. Evaluation of School-Based Right-To-Read Sites, Contemporary Research, Inc., Los Angeles, CA, October 1973.
3. Evaluation of Sampled Community-Based Right-To-Read Projects, Pacific Training and Technical Assistance Corporation, Berkeley, CA, September 1974.
4. Briefing Package for the ASE Management Conference, October 23, 1974.
5. Assessment of the State Agency Component of Right-to-Read, Applied Management Sciences, Silver Spring, MD, June 1976.
6. Study of the Information Requirements of the National Reading Improvement Program, Applied Management Sciences, Silver Spring, MD, July 1976.
7. First Year Evaluation of the Right-to-Read Special Emphasis Projects, Applied Management Sciences, Silver Spring, MD, April 1978.

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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Alcohol and Drug Abuse Education

Legislation:	Expiration Date:
The Alcohol and Drug Abuse Education Act of 1974 and Amendments of 1978. P.L. 95-336	September 30, 1981

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 10,000,000	$ 5,610,000
	1972	20,000,000	12,400,000
	1973	28,000,000	12,400,000
	1974	28,000,000	6,700,000
	1975	26,000,000	4,000,000
	1976	30,000,000	2,000,000
	1977	34,000,000	2,000,000
	1978	34,000,000	2,000,000
	1979	10,000,000	2,000,000 1/

Program Goals and Objectives:

The principal purpose of the program as defined by the authorizing Act is to help schools and communities assess and respond to alcohol and drug abuse by becoming aware of the complex nature of the problems, and to prepare them for developing stratetgies aimed at its causes rather than merely its symptoms. The program strongly encourages a coordinated school-community effort in preventive education with an emphasis on reducing the socially disruptive behaviors often associated with abuse.

In addition to the goals and objectives specified in the legislation, the following statement of goals further specifies the program's purpose: Goal 1 -- to identify, demonstrate, evaluate, and disseminate effective strategies (including curricula) for drug abuse prevention, and Goal 2 -- to train teachers, counselors, parents, students, law enforcement officials and other public service and community leaders to prevent destructive behavior associated with alcohol and drug abuse by promoting growth and development. The program is, therefore, primarily a training and demonstration program, through which local agencies provide direct services to youth.

1/ Same funding level as 1978, according to Continuing Resolution, P.L. 95-482.

Program Operations:

This program is authorized to make grants and contracts for a wide variety of activities which can be generally categorized as preventive education. Currently, the bulk ($1,750,000) of program funds supports five regional training resource centers. In FY 79, in addition to supporting the regional centers, the program is planning to award a $250,000 contract to provide technical assistance to State education agencies and to follow-up graduates of six demonstration projects for prospective teachers funded in previous years.

Through the regional training centers, the program is implementing a new strategy which it describes as "teams teaching teams." It is hoped that the new strategy will achieve a multiplier effect through a two-step process: (1) Teams are trained in "clusters" rather than in geographically unrelated groups. (A geographically related cluster is comprised of a team from a high school joined with teams representing the elementary, middle, and/or junior high schools feeding into that high school.) (2) Then, the most impressive trainees in these clusters become, through further training and one year of on-site technical assistance, new trainers for other schools and groups of schools in their district or community, while continuing to receive some technical assistance from the Federal program.

Program Scope:

In recent years the program has restricted its support primarily to training, technical assistance, and dissemination through the five regional centers and a specific, targeted activity (e.g., needs assessment in FY 78, technical assistance to SEAs in FY 79) through an additional contract.

Program Effectiveness and Progress:

Two studies funded by the program found that (a) trainees felt their training was effective, (b) that one-half to two-thirds of the teams were still functioning a year or two after training, (c) that the majority (about 80 percent) of the teams were performing activities which they had been trained to perform, and (d) in the judgment of the evaluators, these activities were effective There has been no definitive evaluation of impact on student behavior.

Except for the two studies noted above no systematic program evaluation is planned.

Ongoing and Planned Evaluation Studies:

No agency evaluation is currently planned for this program.

Sources of Evaluation Data:

Primary Sources

"Universe Survey of FY 1974 HCHT Teams," E.H. White and Co., San Francisco, September 1975.

"An Evaluation of the School Team Approach for Drug Abuse Prevention and Early Intervention," American Institutes for Research, Washington, D.C., 1976.

House of Representatives Report No. 95-884, February 16, 1978.

Uncited Sources

The Operationally-Based Information Support System.

General Research Corp., Minigrant Study; 1974.

BRX/Shelly, "What Works and Why" project (Fifty Successful Practices); 1974.

Abt Associates, Inc., "Evaluation of the National Preservice Drug Education Program," 1975.

For further information about program operations,

Contact: Helen Nowlis
(202) 245-7292

For further information about program evaluation,

Contact: Paul R. Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Environmental Education

Legislation:

Environmental Education Act of 1970 (P.L. 91-516); Extended by P.L. 93-278

Expiration Date:

September 30, 1978

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 5,000,000	$ 2,000,000
	1972	15,000,000	3,514,000 1/
	1973	25,000,000	3,180,000
	1974	25,000,000	2,000,000
	1975	5,000,000	1,900,000
	1976	10,000,000	3,000,000
	1977	15,000,000	3,500,000
	1978	15,000,000	3,500,000
	1979	7,000,000	3,500,000

Program Goals and Objectives:

The purpose of environmental education as expressed in the Environmental Education Act is to help individuals understand problems, issues, options, and policies affecting the quality of the total environment, including social, economic and cultural aspects. The Act supports the development of educational resources required to achieve these objectives among all age groups and sectors of the country.

The Act provides (1) broad authority for flexible, responsive support of environmental education development needs (rather than support of predesignated activities in schools and communities) (2) support for community group-sponsored informal education projects, and (3) environmental education training for persons in education and other fields, including those in business, industry and government whose activities may effect environment policies and activities and hence quality.

Program Operations:

The overall strategy of the Office of Environmental Education is to facilitate through technical assistance and funds the development of environmental education, e.g., environmental studies programs and educational resources devoted to educating

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1/ Approximately $2 million withheld to cover backdated FY '72 grants.

our citizens about both the immediate and long-term interactions and impacts of activities and decisions on environmental quality. This strategy involves (1) the exploration, through the grants program, of local perceptions and needs in environmental education, (2) the development, through contracts, of basic source materials to facilitate the design of effective content and process resources, (3) the support, through grants and contracts, of projects which promise to enhance the state of the art and to have utility throughout the country or in major sections of the country, and (4) the support of activities for the effective delivery of resources to the user.

Program Scope

In FY 77, program funds amounting to about $2.4 million were used to support a total of 89 environmental education projects. These included resource material development, personnel training, and community education in urban, suburban and rural areas in 42 States, Puerto Rico and the District of Columbia. By kinds of projects the breakdown of grants awarded is as follows:

a. Resource Material Development -- 27

b. Personnel Development -- 20

c. Community Education -- 9

d. Elementary and Secondary Education -- 7

e. Minigrant Workshops -- 26

Technical or non-monetary assistance activities have included (1) assisting grantees in developing resources and expertise, and (2) assisting other Federal agencies, schools and communities interested in educational programs relating to environmental quality.

Program Effectiveness and Progress

No evaluation of the impact of this program has been conducted.

Ongoing and Planned Evaluation Studies

None planned at this time.

Source of Evaluation Data

OEE Program Data

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Contact: Walter Bogan
(202) 245-9231

For further information about program effectiveness,

Contact: Paul Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Revision of Impacted Areas as it Relates to Indian Children (Payments to LEA's for Indian Education)

Legislation	Expiration Date
Indian Education Act of 1972 P.L. 92-318, Part A	Sept. 30, 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$196,177,204	$ 11,500,000
	FY 74	208,000,000	25,000,00
	FY 75	235,000,000	25,000,000
	FY 76	441,242,000	35,000,000
	FY 77	476,263,078	37,000,000
	FY 78	555,000,000	38,850,000
	FY 79	625,000,000	48,000,000

Program Goals and Objectives

Part A of the Indian Education Act provides financial assistance to local educational agencies (LEA's) and non-LEA's for elementary and secondary education programs to meet the special educational needs of Indian children. In addition, a separate authority in the Act allots not more than 10 percent of the amount appropriated for LEAs to Indian controlled schools located on or near reservations.

The law indicates that its purpose is to provide grants on a formula basis to local school systems for (1) planning and other steps leading to the development of programs specifically designed to meet the special educational needs of Indian children, including pilot projects designed to test the effectiveness of these programs; and (2) the establishment, maintenance, and operation of programs, including minor remodeling of classroom or other space used specifically for such programs, and acquisition of necessary equipment.

The immediate program goal is to raise the per pupil expenditure by about $120 per child. The long-range program goal is to supplement per pupil expenditures in the amount of $300 by FY 81, for approximately 375,000 Indian children enrolled in eligible LEA's. Funds from these grants are also intended to provide teachers and teacher aides in the basic skill area of reading and mathematics; new supportive services, including home liaison and guidance and counseling services; and bilingual/bicultural activities.

Program Operations

Under Part A of the Act, entitlements or formula grants are made directly to eligible local education agencies (LEAs). Financial assistance, up to ten percent of the amount authorized under this part, is also given to Indian controlled schools on or near reservations which are non-LEAs, or LEAs which have been established less than three years but have a substantial number of Indian children in their enrollment. These funds are to be used to develop and carry out elementary and secondary school programs designed to meet special educational needs of Indian children.

Program Scope

Data from the 1978 Indian enrollment/entitlement computation indicated 2913 local educational agencies would be eligible for funding under Part A, Title IV, P.L. 92-318. During Fiscal Year 1978, eligible agencies applied for funds to plan, develop, and/or operate programs designed to meet the special educational needs of Indian children. Of the 1136 applications received, 1101 grants were awarded. (During fiscal year 78, approximately 324,402 children were enrolled in LEAs' receiving Part A grants). These grants average approximately $109 per child. At the time of this writing, the 1978 non-LEA grants were not yet awarded.

Projects funded under this part of the Act range from part-time ancillary services to full-time basic education and cultural enrichment programs. Activities are determined by the LEA's based on needs and population concentrations. To assure that program funds are addressing the special educational needs of Indian children as specified in the legislation, a technical review of applications for both LEA's and non-LEA's was conducted to ensure compliance with the provisions of the law. During the period of Project performance, as program administration resources permit, site visits were made to selected project sites and technical assistance is offered to projects requesting it. A national conference with grantees was held to ensure the maximum dissemination of information relating to quality educational practices.

Program Effectiveness and Progress

Three studies found that (a) no uniform methods or criteria exist for identifying or assessing the special educational needs of Indian children to be served by the program, (b) Indian and Alaskan children's special education needs were usually undefined or inadequately assessed, and (c) program effectiveness is difficult or impossible to evaluate because in most instances measurable program goals or milestones have not been established. Even though the results and findings of the above-mentioned mini-studies were true at the time these studies were implemented (early in the young program's history), there has been no definitive evaluation of the impact of programs and projects funded by the Indian Education Act. However, a major assessment of programs and projects funded under Part A of the Indian Education Act has been undertaken with results and findings scheduled for the Fall of 1978.

Ongoing and Planned Evaluation Studies

The evaluation and audit studies completed to date cover only the first and second year of program operation. 1977-78 represents the fifth year of activities under this Act. These early evaluations and audits raised questions about the effectiveness of the services and activities rendered by this program.

Currently, an evaluation study entitled "A National Evaluation Survey of Projects Funded Under Title IV, Part A of the Indian Education Act of 1972" is being performed. It is primarily directed toward an evaluation of the implementation of Part A projects, combined with a feasibility study to determine evaluation criteria which might support future impact studies. The study seeks to identify non-fiscal obstacles to Part A projects which may prevent them from achieving their full potential.

Sources of Evaluation Data

Program Review Materials

Program Audits

Program Management Evaluations

For further information about program operations,

Contact: Mr. Hakim Khan
(202) 245-9159

For further information about studies of program effectiveness,

Contact: Dr. Emmett L. Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Programs and Projects to Improve Educational Opportunities for Indian Children

Legislation	Expiration Date
Indian Education Act of 1972 P.L. 92-318, Part B	Sept. 1, 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 25,000,000	$ 5,000,000
	FY 74	35,000,000	12,000,000
	FY 75	35,000,000 1/	12,000,000
	FY 76	35,000,000 2/	16,000,000
	FY 77	37,000,000 3/	14,080,000
	FY 78	37,000,000 4/	14,400,000
	FY 79	37,000,000 5/	15,500,000

Program Goals and Objectives

The law indicates that its purpose is to authorize discretionary grants to Indian tribes and organizations, State and local educational agencies, as well as institutions of higher education for use in special programs and projects to improve educational opportunities for Indian children. These include (1) supporting planning, pilot, and demonstration projects designed to test and demonstrate the effectiveness of programs for improving educational opportunities for Indian children, such as bilingual/bicultural educational programs and programs dealing with special health, social, and psychological problems of Indian children; (2) activities assisting in the establishment and operation of programs designed to stimulate the provision of educational services not available to Indian children in sufficient quantity or quality, such as guidance, counseling, and testing services; and the development and establishment of exemplary educational programs to serve as models for regular school programs in which Indians are educated, such as remedial and compensatory instructional programs; (3) assisting in the establishment of preservice and inservice training programs to

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1/ thru 5/ In addition to the authorized amount, up to 200 fellowships can be awarded. See Program scope section for actual awards and areas of fellowship awards.

improve the qualifications of persons serving Indian children, such as teachers, teacher aides, social workers, and other educational personnel; (4) encouraging the dissemination of information and materials concerning educational programs, services, and resources available to Indian children, and evaluation of the effectiveness of educational programs which may offer educational opportunities to Indian children.

The long-range program goals are to:

1. fill existing gaps in the provision of educational services to Indian children. The emphasis given to such a service orientation will be dependent on Johnson-O'Malley and Title I funding strategies.

2. establish an adequate number of validated approaches toward meeting the special educational needs of Indian children.

The shorter or immediate program goals are to:

1. develop model programs for public schools and alternative schools, and to develop a dissemination and public school impact network to ensure the transfer of educational delivery systems from the model and demonstration stages to schools.

2. provide innovative and capacity building efforts in areas of educational need having high priority on a national basis.

3. provide basic educational services which will address those needs that are not being met by other programs intended for Indian children.

Program Operations

Part B of the Indian Education Act authorizes grants to support planning, pilot, and demonstration projects; educational services not otherwise available; and the dissemination of information and materials. Upon receipt and approval of applications, grants are made on the basis of national competition, to Indian tribes, organizations and institutions, State and local educational agencies, and Federally supported elementary and secondary schools for Indian children. The applications fall into the general area of cultural and educational enrichment programs and services.

Established criteria require that applications include the following:

1. a statement describing the activities for which assistance is sought

2. information showing that the purpose and scope of the proposed project fall within the scope and intention of Part B of the Indian Education Act

3. provisions for training of the personnel participating in the project

4. provisions for evaluating the effectiveness of the project in achieving its purpose.

The strategy for Part B projects is to address the needs of the Indian community by acquiring local Indian community support. Because both Indian community and school system personnel are involved in most projects from the needs assessment through the final evaluation, the entire project develops as a venture which is based on coordination of effort to achieve specific goals.

Program Scope

In Fiscal Year 78, 413 Part B applications were received and 72 Part B grants were awarded. During Fiscal Year 1977, the Office of Education received 351 applications to support planning, pilot, and demonstration projects. The approved projects dealt with the development of bilingual/bicultural programs, instructional materials and media centers, compensatory education, cultural enrichment, dropout prevention, and vocational training. In addition, fellowships were awarded in the areas of medicine, law, business, forestry, engineering, and related areas.

In general, most funded projects reflected the special educational needs of the local communities. A majority of the grantees under Part B designed their projects to attempt to meet the most compelling of these needs. Based on rather sparse data, the most effective projects are those which invest the largest dollar amounts on staff - professional, paraprofessional, and nonprofessional. The most effective staff members appear to be those who have special abilities to perform success fully in areas that address the special needs of Indian students, and who have the necessary qualities of awareness and sensitivity to Indian students.

Program Effectiveness and Progress

Currently, there is no data which could be used to determine definitively the effectiveness of this program.

Ongoing and Planned Evaluation Studies

No evaluation studies are currently planned for this program.

Sources of Evaluation Data

Program Review Materials

Program Audits

For further information about program operations,

Contact: Mr. Larence LaMoure
(202) 245-7525

For further information about studies of program effectiveness,

Contact: Dr. Emmett L. Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Special Programs Relating to Adult Education for Indians

Legislation	Expiration Date
Indian Education Act of 1972 P.L. 92-318, Part C	Sept. 30, 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 5,000,000	$ 500,000
	FY 74	8,000,000	3,000,000
	FY 75	8,000,000	3,000,000
	FY 76	8,000,000	4,000,000
	FY 77	8,000,000	4,000,000
	FY 78	8,000,000	4,410,000
	FY 79	8,000,000	5,930,000

Program Goals and Objectives

The Act indicates that the purpose of this program is to provide assistance to State and local educational agencies and to Indian tribes, institutions, and organizations to support planning, pilot, and demonstration projects serving adult Indians. Such programs include (1) those which enable participants to obtain high school diplomas, improve their communication skills, and participate in career development activities, (2) research and development programs to create more innovative and effective techniques for achieving the literary and high school equivalency goals; (3) surveys and evaluations to define accurately the extent of the problems of illiteracy and of failure to complete high school among adults on Indian reservations; dissemination of information concerning educational programs, services and resources available to Indian adults; and (4) to encourage the dissemination of information and materials relating to and the evaluation of the effectiveness of, education programs which may offer educational opportunities to Indian adults.

The long-range goal of Part C of the Indian Education Act is to reduce illiteracy among Indian adults by providing high school equivalency diploma training to 30 percent of the adult Indian population between the ages of 20 and 59 by 1981 and to have served validated models in basic literacy and GED training available for installation as service programs.

The shorter range goals or immediate objectives of the program are:

1. to increase the number of high school equivalency diploma (GED) graduates and enrollment in continuing education programs through the use of culturally relevant materials.

2. to develop, test, and implement innovative and effective educational models and teaching strategies for achieving literacy and high school equivalency. To meet this objective, projects will be funded in such areas as curriculum development, teaching techniques, and adult equivalency testing. Areas of high relevancy to Indian communities, such as legal education, consumer education and vocational counseling and education will be used as course content to develop adult basic education programs.

3. to coordinate with adult education and GED programs administered by other Federal agencies.

Program Operations

Upon receipt of applications, grants are made to State and local educational agencies, Indian tribes, institutions, and organizations. The projects are designed to plan for, test and demonstrate effectiveness of programs for adult education for Indians. The projects are intended to assist in the establishment and operation of programs which are designed to provide basic literacy opportunities to all Indian adults to qualify them for high school equivalency certificates in the shortest period of time.

Program Scope

In Fiscal Year 78, 138 Part C applications were received and 45 Part C grants were awarded. However, during fiscal year 1977, the Office of Education received 182 applications to support planning, pilot, and demonstration projects of which fifty-three (53) applicants received grant awards. In general, applications consisted of proposed pilots and demonstration projects designed to improve the employment and educational opportunities of adult Indians.

While many influences undoubtedly contributed to the strong interest in Part C of the Act based upon the yearly number of applications, two major factors, closely related to the language and intent of the Act, should be considered.

One contributing factor is the Title IV definition of Indian. Under this definition, Indians who were formerly ineligible to participate in Bureau of Indian Affairs programs can be served under the provisions of Title IV. Thus, school district administrators and members of the Indian community may view Title IV funding as a highly desirable means of meeting the special needs of Indian students. Parents and children who are Indian, but cannot qualify for tribal enrollment or Bureau of Indian Affairs benefits because they do not meet blood quantum requirements, have recognized a source of educational support and have claimed their Indian identity in order to participate in the Title IV program.

Another factor is that the structure of Indian culture is so diverse that extensive funding problems are created by the inability to generalize effective educational practices to the overall Indian community. There are 467 recognized Indian tribes and bands, many of whom have entirely different cultural patterns. For example, an effective education practice for the Northern Cheyenne or one of the other Northern plains tribes may require extensive modification to work effectively for the Lumbees in the East.

Program Effectiveness and Progress

Currently, there is no data which could be used to determine definitively the effectiveness of this program.

Ongoing and Planned Evaluation Studies

No evaluation studies are currently planned for this program.

Sources of Evaluation Data

Program Review Materials

Program Audits

For further information about program operations,

Contact: Mr. Lawrence LaMoure
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ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Metric Education

Legislation	Expiration Date
P.L. 93-380, Title IV, Part C, Sec. 403	September 30, 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ -0-	$ -0-
	1976	10,000,000	2,090,000
	1977	10,000,000	2,090,000
	1978	10,000,000	2,090,000
	1979	10,000,000	1,840,000

Program Goals and Objectives

The Act states that the program's purpose is to encourage educational agencies and institutions to prepare students, including parents and other adults, to use the metric system of measurement as part of the regular educational program. Through the awarding of grants and contracts, the regulations for this program state its goals as follows: (1) to identify, assess, and disseminate information on metric education curricula as well as to provide funding support and technical assistance for the development of metric education curricula in elementary and secondary schools, institutions of higher education, and State education agencies; (2) to prepare teachers to teach and use the revised metric system of measurement on an interdisciplinary basis; (3) to develop and disseminate curricula materials and practices for special learner populations and (4) to support State education agencies in their efforts to develop statewide and multi-state interdisciplinary metric education plans as a basis for guidance to local school districts and their metric education initiatives.

Program Operations

This program solicits proposals for grants and/contracts for the following activities: (1) inservice and/or preservice training of teachers; (2) State- and multi-state metric educational planning; (3) mobile metric education; (4) development and dissemination of materials; (5) mass media development; and (6) school-based interdisciplinary projects with a concurrent training of parents and other adults from the general population.

Program Scope

Five contracts and 73 grants were awarded by this program from the FY 76 appropriation. These grants terminated between June 30, 1977, and September 30, 1977. The FY 78 grants will generally conclude between June and September 1979. A total of 75 grants were awarded during FY 77 to local and State education agencies, institutions of higher education, and public and private nonprofit groups. The grantees are testing many strategies and developing many products which may prove beneficial to less initiated metric educators and educational agencies.

In FY 78 66 potential grantees have been recommended for funding. Most of these grants commenced on July 1, 1978, and continue for 12 months.

The target populations for the program's thrusts are: Native Americans, bilingual, elderly, handicapped and correctional students as well as preservice and inservice teachers, teacher trainers, parents, other adults from the general population and elementary and secondary students. Special emphasis is made on preparing consumers for a new measurement system in the market place.

Program Effectiveness and Progress

The program's legislation does not provide for a mandatory evaluation. As an alternative, great dependence is placed on analysis of scheduled project reports.

Ongoing and Planned Evaluation Studies

None

Sources of Evaluation Data

1) Program Reports

2) Project monitoring activities

3) Site visits

4) Interactions and feedback at program sponsored national meetings.

For further information about program operations,

Contact: Floyd Davis
(202) 245-3352

For further information about program evaluation,

Contact: Paul R. Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Gifted and Talented Children

Legislation	**Expiration Date**
P.L. 93-381, Section 404	September 30, 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	Commissioner's S&E	$ 50,000
	1976	$12,250,000	2,560,000
	1977	12,250,000	2,560,000
	1978	12,250,000	2,560,000
	1979	25,000,000	3,570,000

Program Goals and Objectives

The Act indicates that the purpose of this program is to provide educational services to gifted and talented children. The program regulations specify the following objectives:

A. The development and dissemination to the public of information pertaining to the education of gifted and talented children and youth

B. Grants to State and local educational agencies for the planning, development, operation, and improvement of programs and projects designed to meet the special educational needs of the gifted and talented at the preschool, elementary and secondary school levels

C. Grants to State education agencies for training personnel engaged, or preparing to engage, in educating the gifted and talented or as supervisors of such persons

D. Grants to institutions of higher education or other appropriate nonprofit agencies for training leadership personnel (including internships) in the education of the gifted and talented

E. Contracts with public and private agencies for the establishment and operation of model projects for the identification and education of the gifted and talented.

Program Operations

This grant program operates with discretionary funds only, i.e., no State plans or formulas are required.

Fund recipients are expected to conduct a comprehensive ongoing evaluation as well as a final evaluation of the program or project.

Program Scope

The following activities were supported through FY 78 expenditures:

A. Two contracts were awarded for the development and dissemination of information pertaining to the education of gifted and talented youth.

B. Thirty-six awards were made to States and 1 SEA award was continued; 14 grants to local education agencies were awarded for the planning, development, operation and implementation of programs and projects designed to meet the special needs of gifted and talented children.

C. Approximately 50 percent of the awards to State departments of education include project components for the preservice and inservice training of educators of the gifted and talented or supervisors of such persons.

D. Three continuations were made to institutions of higher education for training leadership personnel (including internships) in the education of the gifted and talented.

E. Five continuation contracts and one new contract were awarded to public and private agencies for the operation of model projects for the identification and education of gifted and talented youth.

Program Effectiveness and Progress

No systematic program effectiveness data currently exist.

Ongoing and Planned Evaluation Studies

An evaluation study is planned, beginning in FY 79, to find out how well the dissemination and demonstration efforts are reaching the target population.

Sources of Evaluation Data

Individual project evaluation is required by the program regulations. These evaluations together with periodic program reports will serve as a data source for determining program effectiveness and progress.

For further information about program operations,

Contact: Dorothy Sisk
(202) 245-2481

For further information about program evaluation,

Contact: Paul R. Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Education

Legislation:	Expiration Date:
Education Amendments of 1974, P.L. 93-380, Section 405	September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	-0-	-0-
	1976	$ 17,000,000	$ 3,553,000
	1977	17,000,000	3,553,000
	1978	17,000,000	3,553,000
	1979	17,000,000	3,190,500

Program Goals and Objectives:

The goals of the community education program as defined by the Community Schools Act and reiterated in the regulations are to meet the unique needs of any community by:

1. promoting greater utilization of public education facilities through an extension of school buildings

2. providing educational, recreational, cultural, and other related community services in accordance with the needs, interests, and concerns of the community

3. promoting interagency cooperation thereby saving money that results from costly duplication of effort.

Program Operations:

Discretionary competitive grants are made to State and local education agencies to pay the Federal share of the cost of planning, establishing, expanding, and/or operating community education programs. In addition, funds are made available to institutions of higher education to develop and establish or to expand programs which will train persons to plan and operate community education programs. Other components are the establishment of a clearinghouse to disseminate information and the provision of technical assistance to each community education program as needed. Operation of the clearinghouse was initiated in FY 77.

Local program grant recipients receive different Federal shares based upon the status of their program. The Federal share is:

- 80 percent of a program to establish a new community education program.
- 65 percent of a program to expand or improve a community education program.
- 40 percent of a program to maintain or carry out a community education program.

Program Scope:

85 grants have been awarded in Fiscal Year 1978:

Institution	Amount of Appropriation	No. of Grants
LEA	$ 1,564,000	45
SEA	1,564,000	32
IHE	425,000	4

Though authorized, no funds were appropriated for this program in FY 75. The same breakdown for grant awards was used in FY 76 and is anticipated for FY 79.

Program Effectiveness and Progress:

The Community Schools Act mandated that the Community Education Advisory Council present to Congress a "complete and thorough evaluation of the programs and operation" of the Community Education Program. To fulfill this requirement, the Advisory Council and the Office of Planning, Budgeting, and Evaluation jointly funded this evaluation. In May 1977, a contract was awarded to Development Associates, Inc., to conduct the study. The objectives of this study were to describe the organization and operation of LEA, SEA, and IHE projects funded under this program, and to evaluate their impact at the local and State level. Survey data was collected late in 1977 and early 1978 from all projects refunded in FY 77 for their second year of operation. A sample of 20 of these projects was site-visited to obtain a more detailed picture of how Federal program objectives have been translated into project activities. The study concluded that the program was meeting with remarkable success and that the majority of its projects continued operations following the withdrawal of Federal support. A final report was presented to Congress in the Summer of 1978.

Ongoing and Planned Evaluation Studies:

No study is currently planned for this program.

Source of Evaluation Data:

Program reports

Young, Malcolm et al. Evaluation of the Community Education Program: Development Associates, Inc.; Arlington, Va. 1978.

For further information about program operations,

Contact: Bernard B. O'Hayre
245-0961

For further information about program evaluation,

Contact: Paul R. Messier
245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Consumers' Education

Legislation	Expiration Date
P.L. 92-318, Section 811 (as amended by P.L. 93-380)	September 30, 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$ 15,000,000	$ 3,135,000
	1978	15,000,000	4,069,000
	1979	15,000,000	3,601,000

Program Goals and Objectives

The regulations and the Act specify the goals of this program as follows:

> Grants and procurement contracts will be issued for identfying, assessing, and disseminating information on existing curricula in consumers' education; to establish resource centers which will provide technical assistance, information, and short-term training to agencies, institutions and community groups in the implementing of consumers' education programs; planning, establishing, expanding, and/or improving model community education programs in consumers' education which are designed to provide consumers' education to the general public in one or more communities; providing short-term preservice or inservice training for teachers and other educational and noneducational personnel at the elementary and secondary school levels and in consumers' education programs in communities.

Program Operations

The program operates with discretionary funds which support selected proposals following a panel review. There are no restrictions as to the geographical distribution of funds. Projects are designed to prepare consumers for participation in the marketplace by imparting the understanding, attitudes, and skills which will enable persons to make rational and intelligent consumer decisions in the light of their personal values, their recognition of marketplace alternatives, and social, economic, and ecological considerations.

The target populations are identified as follows: (1) bilingual, (2) elderly, (3) Indian, (4) handicapped, and (5) correctional.

Program Scope

Sixty-one grants and 15 procurement contracts were awarded by this program in fiscal year 1978. Thirty-one States and the District of Columbia are represented in the 61 grant awards. Eight of these applications represent re-submissions from fiscal year 1977 grantees.

The following table gives the distribution by agency type of the grant awards over the three-year history of the program.

Grant History: Comparison of Agency Types

	1976--66 grant awards		1977--57 grant awards		1978--65 grant awards	
Agency Type	No.	%	No.	%	No.	%
SEA	2	3	1	1.5	3	4
Int.	2	3.	2	3.5	2	3
LEA	5	8	4	7	12	19
IHE	28	42	18	3.2	20	31
2-yr.	(4)	(6)	(3)	(5)	(4)	(6)
4-yr.	(24)	(36)	(15)	(27)	(16)	(24)
OPPNA 1/	29	44	32	56	28	43

A further breakdown of the 28 OPPNA's on the list of the total 65 funded proposals indicates the following:

From Public Agencies:

1 Interstate Commission
5 State Office--Consumer Affairs/Consumer Council
4 City County Departments--Human Resources/ Housing Assistance
2 Libraries

From Nonprofit Agencies:

40 Community Action/Community Service Agencies
1 National Consumer Organization
4 Indian Coalitions or Tribes

1/ Other Public and Private Non-Profit Agencies

3 Education/Research/Service Agencies
3 Citizen's Action Groups
1 Hospital

Furthermore, there are projects to meet the needs of low-income people, both urban and rural; to work with the elderly in several settings; to bring consumer education to groups whose first language is Spanish, to Native Americans on and off reservations, and to trade unionists.

Over 1,000 teachers and people in key educational positions will have received training on consumer education topics ranging from effective family budgeting all the way to ways of judging advertising and promotional techniques designed to trap the unwary. Particular emphasis upon State leadership and the subsequent need for policy on consumer education will identify and clarify issues and problems statewide. In community and other nonprofit agencies, the stress is placed upon over 1,000 service providers with training and development activities designed to improve their consumer educational effectiveness with regard to specific target groups such as the elderly, handicapped, and low income, rural and urban populations. The focus upon institutional capacity building activities is evidenced in almost all projects by the direct emphasis on the service provider rather than the individual consumer.

Studies and reports developed through procurement contracts are providing information about major areas never before probed, including the state of the art, the role of the consumer/citizen, and the relationship between the economics and consumer education curricula. A series of small contracts has identified functional delivery systems which could contribute to a resource linkage system serving consumer educators in need of curriculum and other materials. Other areas in which the Office of Consumers' Education has conducted studies have to do with State and local regulatory agencies, public utilities, advertising, the current and future role of consumers, the consumption of human services, such as health. Two publications to serve consumer education leaders as well as notices have been published: "A Guide to Consumer Action" and "A Guide to Consumer Education Instructional Materials."

A very small dissemination system for the results of these procurement contracts has been developed and implemented with the Office of Consumers' Education.

Program Effectiveness and Progress

There were 750 applications in fiscal year 1978 for support, of which 738 were eligible applications. Of this latter total, approximately 61 were funded. In Fiscal Year 1976 the average grant award was $44,000 compared to $53,000 in FY 77.

Ongoing and Planned Evaluation Studies

None.

Sources of Evaluation Data

Interim and final reports from ongoing projects.

Fiscal Year	1976	1977	1978
No. of Grants	66	57	61
Average Amt.	$44,000	$53,000	$62,000
Total Amt.	$2,999,591	$2,956,739	$3,433,191
Contracts	7	35	15
Total Amt. Contracts	$134,889	$177,979	$634,608

For further information about program operation,

Contact: Dustin Wilson
(202) 245-0636

For further information about program effectiveness,

Contact: Paul Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Women's Educational Equity

Legislation	Expiration Date
P.L. 93-380, Section 408	September 30, 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ -0-	$ -0-
	1976	30,000,000	6,270,000
	1977	30,000,000	7,270,000
	1978	30,000,000	8,085,000
	1979	30,000,000	9,000,000

Program Goals and Objectives

In accordance with the Act, the purpose of the program is to provide educational equity for women in the United States.

The program defines its goals as:

A) The elimination of discrimination on the basis of sex and of those elements of sex role stereotyping and sex role socialization in educational institutions, programs, and curricula which prevent full and fair participation by women in educational programs and in American society generally.

B) The achievement of responsiveness by educational institutions, programs, curricula, policy makers, administrators, instructors, and other personnel to the needs, interests, and concerns of women arising from inequitable educational policies and practices.

Three strategies to implement these goals are:

A) Systemic change by eliminating those elements of sex role stereotyping and sex role socialization which separately, and more importantly, together and over time limit the aspirations, experiences, and options of women.

B) Institutional change through the elimination of discriminatory practices and policies in educational agencies, organizations, and programs which may be contrary to Federal statutes, executive orders, and regulations.

C) Supplementary activities for individuals through special educational opportunities and support services.

Program Operations

The program may receive applications or proposals from any public agency, private nonprofit organization, or individual. They are reviewed by panels which are broadly representative of the concerns of the program. The most highly rated applications are funded, within the mandated requirements both for appropriate geographical distribution and for projects at all levels of education, as well as the regulatory requirement for projects which collectively represent to the extent possible the diverse needs and concerns in educational equity for women. This program, under the Commissioner's approval, is entirely discretionary.

Program Scope

Sixty-seven grants and 5 major contracts were funded in FY 76. In FY 77, twenty projects were continued and 63 new awards were made. Two contracts were continued and four new contracts were funded in FY 77. In FY 78 approximately 55 new grants will be awarded, 17 will be continued, and several contracts will be funded. The program aims at both children and adults, both women and men; ethnic, regional, socioeconomic groups; educational personnel, parents, students, and concerned citizens.

Program Effectiveness and Progress

Regulations were published on February 12, 1976. For an amendment to these regulations, an Advance Notice of Proposed Rulemaking was published on October 21, 1976, and a Notice of Proposed Rulemaking on April 1, 1977. The final Amendment to the Regulation was published on June 28. No information on effectiveness will be available for at least a year.

Ongoing and Planned Evaluation Studies

The National Advisory Council on Women's Educational Programs has a mandated responsibility to evaluate programs and projects. At this time, there are no other plans for such evaluation. There is a contract to develop measurement instruments and to do representative case studies needed to assess program strategies.

Sources of Evaluation Data

Program Reports

For further information about program operations,

Contact: Joan Duval
(202) 245-2181

For further information about program evaluation,

Contact: Paul R. Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Education in the Arts

Legislation	Expiration Date
P.L. 93-380, Section 409	September 30, 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	-0-	
	1976	Not less than $ 750,000	$ 750,000
	1977	Not less than 750,000	$ 1,750,000
	1978	Not less than 750,000	$ 2,000,000
	1979	Not less than 750,000	$ 3,000,000

Program Goals and Objectives

The legislative intent for this program is to encourage and assist State and local education agencies to establish programs in which the arts are an integral part of elementary and secondary school programs. The program's purpose, in accordance with the published regulations, is to:

(1) Encourage the development, in students, of an aesthetic awareness in the arts

(2) Foster self-actualization and the development of communicative skills through movement, sound visual images, and verbal usage

(3) Involve each student in each school covered by the application in enjoyment, understanding, creation, and evaluation of, and participation in, the arts

(4) Address the spectrum of art forms, including at least dance, music, drama, and the visual arts

(5) Integrate these art forms into the regular educational program as distinguished from treating them on an extra-curricular or peripheral basis;

(6) Infuse the arts into the curriculum to enhance and improve the quality of aesthetic education offered, and expand the use of the arts for cognitive and affective learning experience.

Program Operations

Grants are awarded to State and local educational agencies on a competitive basis. The John F. Kennedy Center for the Performing Arts, through the Alliance for Arts Education, assists with the review of proposals and provides a variety of forms of technical assistance to grant recipients.

Projects funded tend to combine a variety of activities designed to integrate an appreciation of the arts with educational practices. These activities focus on students as well as on teachers (e.g., through training programs) and other education practitioners (e.g., through State and local conferences).

Program Scope

The program used some Salary and Expense monies in FY 75 to conduct regional conferences and workshops, and to assist States in planning for arts educational programs. Rules and regulations were published in April 1976 and grants were awarded for the first time under this program in July 1976 to 89 recipients: 41 State Departments of Education, one Bureau of Indian Affairs agency, three Trust Territories, and 44 local education agencies in 31 States. In 1977, awards went to 30 State Departments of Education and 47 local education agencies. State education agencies projects included a combination of activities such as programs for local school districts, statewide conferences to promote the concept of arts in education, state-wide teacher training activities and publication of newsletters. Local educational projects funded were designed to impact upon one school as well as on a number of schools, and included many of the same activities. Other activities designed to operate at the school level, such as artists in residence programs, were also included in LEA plans.

In 1977 Congress appropriated an additional $1.25 million under the program, over and above the $750,000 for FY 77 grants to State and local education agencies. This additional $1.25 million was provided specifically for: the Alliance for Arts Education ($750,000) and the National Committee/Arts for the Handicapped ($500,000).

Program Effectiveness and Progress

No evaluation of this program has been performed.

Ongoing and Planned Evaluation Studies

None

Source of Evaluation Data

Program Reports

For further information about program operations,

Contact: Lonna B. Jones
(202) 472-5658

For further information about program evaluation,

Contact: Paul R. Messier
(202) 245-8877

APPENDIX A.

LISTING OF EDUCATION PLANNING AND EVALUATION ACTIVITIES: FY 1978

LISTING OF EDUCATION PLANNING AND EVALUATION ACTIVITIES: FY 1978

Required by Section 417(b) of the General Education Provisions Act, P.L. 93-380, as amended

Listing of Contracts (including brief description, name of contractor, and funding history)

Page

10000 Series: Elementary & Secondary Programs 1

30000 Series: Postsecondary Programs 9

50000 Series: Occupational, Handicapped and Developmental Programs 13

90000 Series: Miscellaneous 17

- This listing includes all contracts containing FY 1978 or 1979 funds plus all contracts any part of the performance of which occurred during FY 1978

- "ED" numbers indicate ERIC accession numbers of reports. "ED's" with no numbers indicate that reports have been sent to ERIC but are not yet accessible as of the date of this run.

- All funds are "P&E" unless otherwise indicated under "Description of Contract."

- FY 79 funds shown are Title I monies obligated July through September 1978.

I.

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
1. ELEMENTARY AND SECONDARY PROGRAMS						
1 73 802	OEC-0-73-0831 COMPLETED--REPORT AVAILABLE ED101017,117229,133360-62 FUNDING HISTORY, FY 73: 981691 74: 1067568 75: 736099 76: 319773	LONGITUDINAL EVALUATION OF THE EMERGENCY SCHOOL ASSISTANCE ACT PILOT PROGRAM (ESAA FUNDS) (ALSO ED 154951,2,155272-5)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 2/14/73 TO 3/31/78	(P)	SHOEMAKER OPBE	3105131
1 73 805	OEC-0-73-6336 COMPLETED--REPORT AVAILABLE ED101017,117229,13360-2 FUNDING HISTORY, FY 73: 1370909 74: 1421432 75: 1520819 76: 479660	EVALUATION OF THE EMERGENCY SCHOOL AID ACT BASIC LEA PROGRAM (ESAA FUNDS) (INCLUDES $22,600 FY 73 S&E FUNDS) (ALSO ED 154951,2,155272-5)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 6/ 1/73 TO 3/31/78	(P)	SHOEMAKER OPBE	4792820
1 74 005	OEC-0-74-9331 COMPLETED--REPORT AVAILABLE ED123893,4,138090,1,154634,5 FUNDING HISTORY, FY 74: 828312 75: 500000 76: 683967 77: 57981	EVALUATION OF THE BILINGUAL ED PROG (INCLUDES 500K SEC 232 FUNDS IN BOTH FY 74 & FY 75) (SEE ALSO 176010)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 6/30/74 TO 3/31/78	(N)	SHOEMAKER OPBE	2070260
1 74 901	OEC-0-74-0582 FUNDING HISTORY, FY 74: 2770900 75: 1301386 76: 869116 77: 53685 78: 45490	FOLLOW THROUGH NATIONAL EVALUATION: DATA COLLECTION AND DATA PROCESSING (CONTINUATION OF 169191) (FOLLOW THROUGH FUNDS)	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. 10/12/73 TO 10/31/79	(N)	BURNS OPBE	5040577
1 74 902	OEC-0-74-0394 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 74: 248114 75: 50000 76: 211715 77: 21939 78: 17268	TECHNICAL ASSISTANCE / SPECIAL STUDIES OF THE FOLLOW THROUGH PROGRAM (CONTINUATION OF 172902) (FOLLOW THROUGH FUNDS)	HURON INSTITUTE BOSTON, MASS. 9/20/73 TO 10/31/78	(N)	BURNS OPBE	549036

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
1 75 001	300-75-0332 FUNDING HISTORY, FY 75: 4025609 76: 2149947 77: 3410539 78: 3865027 79: 2169682	EVALUATION OF THE SUSTAINING EFFECTS OF COMPENSATORY EDUCATION (TITLE I FUNDS EXCEPT $639,290 P&E 77 $105,000 P&E 78 & $360,615 S&E 78	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 7/ 1/75 TO 12/31/80	(P)	MAYESKE OPBE	15620795
1 75 002	300-75-0212 COMPLETED--REPORT AVAILABLE ED145017 FUNDING HISTORY, FY 75: 665730 76: 35465 77: 24742	FURTHER DOCUMENTATION OF THE STATE TITLE I REPORTING MODELS (TITLE I FUNDS IN FY76 AND FY77)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 6/16/75 TO 6/30/78	(P)	ANDERSON OPBE	725937
1 75 901	300-75-0134 COMPLETED--REPORT AVAILABLE ED145480-93 FUNDING HISTORY, FY 75: 668895 76: 1120918 77: 52512	FOLLOW THROUGH EVALUATION--DATA ANALYSIS (FOLLOW THROUGH FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. 2/ 7/75 TO 12/31/77	(P)	IWAMOTO OPBE	1842325
1 76 008	300-76-0093 FUNDING HISTORY, FY 76: 357876 77: 1668423	EVALUATION OF THE TITLE I PROGRAM IN STATE INSTITUTIONS FOR NEGLECTED AND DELINQUENT CHILDREN ($254,539 TITLE I FUNDS IN 77)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 2/ 9/76 TO 9/30/79	(P)	ANDERSON OPBE	2026299
1 76 005	300-76-0095 FUNDING HISTORY, FY 76: 341705 77: 961197 78: 1991817	EVALUATION OF THE IMPACT OF THE ESEA TITLE I MIGRANT PROGRAM (TITLE I FUNDS)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 2/ 9/76 TO 5/31/80	(N)	YORK OPBE	3294719
1 76 009	300-76-0316 COMPLETED--REPORT AVAILABLE ED155258 FUNDING HISTORY, FY 76: 364434 77: 29654 78: 9642	TITLE I EVALUATION WORKSHOPS (TITLE I FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 7/ 1/76 TO 12/31/77	(P)	ANDERSON OPBE	403730
1 76 010	OEC-0-74-9331 COMPLETED FUNDING HISTORY, FY 76: 23000	PREPARATION OF HANDBOOK ON EVALUATION OF BILINGUAL PROJECTS (TITLE I FUNDS) (ADD-ON TO PROJECT 174005)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 9/30/76 TO 8/31/78	(N)	SHOEMAKER OPBE	23000

3.

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
1 76 011	300-76-0541 FUNDING HISTORY, FY 761 116407 771 189884 781 721792	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION I (TITLE I FUNDS)	RMC RESEARCH CORPORATION BETHESDA, MD. (P) 10/ 1/76 TO 3/31/79	FISHBEIN OPBE	1028083
1 76 012	300-76-0542 FUNDING HISTORY, FY 761 108037 781 346212	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION II (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE PRINCETON N.J. (N) 10/ 1/76 TO 3/31/79	FISHBEIN OPBE	454249
1 76 013	300-76-0543 FUNDING HISTORY, FY 761 109548 781 1993443	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION III (TITLE I FUNDS)	NATIONAL TESTING SERVICE DURHAM, N.C. (N) 10/ 1/76 TO 3/31/79	FISHBEIN OPBE	2102991
1 76 014	300-76-0544 FUNDING HISTORY, FY 761 112519 771 53407 781 175747	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IV (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE ATLANTA, GA. (N) 10/ 1/76 TO 3/31/79	FISHBEIN OPBE	341673
1 76 015	300-76-0545 FUNDING HISTORY, FY 761 112403 771 121998 781 400308	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION V (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE EVANSTON, ILL. (N) 10/ 1/76 TO 3/31/79	FISHBEIN OPBE	634709
1 76 016	300-76-0546 FUNDING HISTORY, FY 761 120630 771 105286 781 492153	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VI (TITLE I FUNDS)	RESOURCE DEVELOPMENT INSTITUTE AUSTIN, TEXAS (P) 10/ 1/76 TO 3/31/79	FISHBEIN OPBE	716069
1 76 017	300-76-0547 FUNDING HISTORY, FY 761 118008 771 91601 781 432998	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VII (TITLE I FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 10/ 1/76 TO 3/31/79	FISHBEIN OPBE	642607

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                                  SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979
SEQ.
NO.          CONTRACT NUMBER                DESCRIPTION OF CONTRACT            CONTRACTOR NAME,              PROJECT MONITOR   OBLIG.
                                                                               LOCATION, AND TYPE,           & ORGANIZATION    DOLLARS
                                                                               START AND END DATES

1 76 018     300-76-0548                   OPERATION OF ESEA TITLE I TECHNICAL  NORTHWEST REGIONAL LABORATORY    FISHBEIN        609009
                                            ASSISTANCE CENTER--REGION VIII       PORTLAND ORE.              (N)   OPBE
  FUNDING HISTORY, FY 76:    114772         (TITLE I FUNDS)                      10/ 1/76 TO  3/31/79
                      77:    122443
                      78:    371794
1 76 019     300-76-0549                   OPERATION OF ESEA TITLE I TECHNICAL  NORTHWEST REGIONAL LABORATORY    FISHBEIN        609242
                                            ASSISTANCE CENTER--REGION IX         PORTLAND ORE.              (N)   OPBE
  FUNDING HISTORY, FY 76:    111605         (TITLE I FUNDS)                      10/ 1/76 TO  3/31/79
                      77:    110960
                      78:    386677
1 76 020     300-76-0550                   OPERATION OF ESEA TITLE I TECHNICAL  NORTHWEST REGIONAL LABORATORY    FISHBEIN        518252
                                            ASSISTANCE CENTER--REGION X (TITLE   PORTLAND ORE.              (N)   OPBE
  FUNDING HISTORY, FY 76:    109771         I FUNDS)                             10/ 1/76 TO  3/31/79
                      77:     59278
                      78:    349203
1 76 022     300-76-0358                   STUDY OF BILINGUAL CURRICULUM        DEVELOPMENT  ASSOCIATES, INC.    OKADA           355105
                                            DEVELOPMENT ACTIVITIES               WASHINGTON, D.C.           (P)   OPBE
  FUNDING HISTORY, FY 76:    139306                                               7/ 1/76 TO  1/31/79
                      77:    206042
                      78:      9757
1 76 028     300-76-0433                   EVALUATION OF EMERGENCY SCHOOL AID   APPLIED URBANETICS, INC.         YORK            149063
                                            ACT (ESAA) IMPLEMENTATION AND        WASHINGTON, D.C.           (P)   OPBE
                                            IMPACT AT THE REGIONAL LEVEL (ESAA    8/24/76 TO  1/31/79
  FUNDING HISTORY, FY 76:    149063         FUNDS)
1 76 029     300-76-0311                   EVALUATION OF THE EMERGENCY SCHOOL   THE RAND CORPORATION             YORK            829565
                                            AID ACT NON-PROFIT ORGANIZATION      SANTA MONICA CAL.          (N)   OPBE
  FUNDING HISTORY, FY 76:    802136         PROGRAM (ESAA FUNDS)                  6/25/76 TO  1/31/79
                      77:     24784
                      78:      2645
1 76 030     300-76-0330                   EVALUATION OF PROJECT INFORMATION    AMERICAN INSTITUTES FOR RESEARCH BURNES          832214
                                            (PIPS) DISSEMINATION AND IMPLEMENT-  PALO ALTO, CAL.            (N)   OPBE
  FUNDING HISTORY, FY 76:    423695         ATION (PIPS FUNDS)                    7/ 1/76 TO  6/30/79
                      77:    408519
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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
1 77 001	- 300-77-0515 FUNDING HISTORY, FY 77: 191665 78: 309762	A PROCESS AND MANAGEMENT STUDY OF CONSOLIDATED PROGRAMS UNDER ESEA TITLE IV	THE RAND CORPORATION SANTA MONICA CAL. 10/ 1/77 TO 8/31/79	(N)	JACKSON OPBE	501427
1 77 002	300-77-0527 FUNDING HISTORY, FY 77: 9995	THE MEASUREMENT OF EQUITY IN SCHOOL FINANCE WITH AN EXPENDITURE DISPARITY MEASURE	EDUCATION COMM, FOR THE STATES DENVER, COLO. 10/ 1/77 TO 1/31/79	(N)	STONE OPBE	9995
1 77 003	300-77-0444 FUNDING HISTORY, FY 77: 50000 78: 206078	DEVELOPMENT OF EVALUATION MODELS FOR TITLE I PROGRAMS IN EARLY CHILDHOOD EDUCATION (TITLE I FUNDS)	HURON INSTITUTE BOSTON, MASS. 10/ 1/77 TO 5/31/79	(N)	STONEHILL OPBE	256078
1 77 005	P00-77-0453 COMPLETED FUNDING HISTORY, FY 77: 7300	PREPARATION OF TECHNICAL PAPER ON CHILDREN'S NORMAL GROWTH AT VARIOUS GRADE LEVELS (TITLE I FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. 9/ 9/77 TO 10/15/77	(P)	ANDERSON OPBE	7300
1 77 007	P00-77-0075 FUNDING HISTORY, FY 77: 9500	ADMINISTRATIVE CONSIDERATIONS IN THE DEVELOPMENT OF A LARGE SCALE TESTING AND EVALUATION PROGRAM (TITLE I FUNDS)	POLEMENI, ANTHONY UPPER MONTCLAIR, N.J. 1/12/77 TO 3/31/79	(I)	FISHBEIN OPBE	9500
1 77 010	300-77-0327 FUNDING HISTORY, FY 77: 1174438 78: 1463741	A STUDY OF THE EFFECTS OF SELECTED ESAA SUPPORTED ACTIVITIES ON INTER-GROUP RELATIONS AND BASIC SKILLS (ESAA FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. 8/23/77 TO 12/31/80	(P)	BURNES OPBE	2638179
1 77 011	300-77-0393 FUNDING HISTORY, FY 77: 258647	EVALUATION OF THE EMERGENCY SCHOOL AID ACT MAGNET SCHOOLS PROGRAM (ESAA FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. 9/ 9/77 TO 2/28/79	(P)	YORK OPBE	258647
1 77 012	300-77-0323 COMPLETED FUNDING HISTORY, FY 77: 69749	A STUDY OF FEDERAL TECHNICAL AND FINANCIAL ASSISTANCE PROGRAMS DESIGNED TO FACILITATE SCHOOL DESEGREGATION (ESAA FUNDS)	TEAM ASSOCIATES WASHINGTON, D.C. 9/30/77 TO 7/31/78	(P)	OZENNE OPBE	69749
1 77 013	300-77-0371 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 77: 169145 78: 33723	AN ASSESSMENT OF EMERGENCY SCHOOL AID ACT PROGRAM OPERATIONS (ESAA FUNDS)	APPLIED URBANETICS, INC. WASHINGTON, D.C. 9/30/77 TO 8/31/78	(P)	OZENNE OPBE	202868

6.

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
1 77 014	300-77-0313 FUNDING HISTORY, FY 77: 722529 78: 390676	EVALUATION OF BILINGUAL PROJECT INFORMATION VIA PROJECT INFORMATION PACKAGES (PIPS FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. (P) 7/29/77 TO 12/31/79	BEZDEK OPBE	1113205
1 78 001	300-78-0437 FUNDING HISTORY, FY 78: 639158	STUDY OF PARENTAL INVOLVEMENT IN VARIOUS PROGRAMS ($250,000 ESAA, $350,000 FOLLOW THRU & $39,158 S&E FUNDS)	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. (P) 9/30/78 TO 10/31/80	OZENNE OPBE	639158
1 78 005	300-78-0489 FUNDING HISTORY, FY 78: 644885	DEVELOPMENT OF ENTRY/EXIT CRITERIA AND ASSOCIATED ASSESSMENT PROCEDURES FOR BILINGUAL EDUCATION PROJECTS ($88,000 BILINGUAL & $556,885 S&E)	SWRL ED RESEARCH & DEVELOPMENT LOS ALAMITOS, CALIFORNIA (N) 9/30/78 TO 9/30/80	SHOEMAKER OPBE	644885
1 78 010 COMPLETED	P00-78-0013 FUNDING HISTORY, FY 76: 6155	FINAL REVISIONS TO COST ANALYSIS HANDBOOK (TITLE I FUNDS)	RMC RESEARCH CORPORATION BETHESDA, MD. (P) 12/19/77 TO 4/15/78	ANDERSON OPBE	6155
1 78 011	300-78-0182 FUNDING HISTORY, FY 78: 398755	AN ANLYSIS OF ISSUES IN ESEA TITLE I EVALUATION AND REPORTING (TITLE I FUNDS)	RMC RESEARCH CORPORATION MOUNTAIN VIEW, CAL. (P) 7/11/78 TO 12/31/79	ANDERSON OPBE	398755
1 78 012	300-78-0168 FUNDING HISTORY, FY 78: 17462	STATE AND LOCAL GUIDE TO CRITERION REFERENCED TESTING (TITLE I FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 8/21/78 TO 8/20/79	ANDERSON OPBE	17462
1 78 013	300-78-0355 FUNDING HISTORY, FY 79: 95000	PERFORMANCE REVIEW OF USOE'S ESEA TITLE I EVALUATION TECHNICAL ASSISTANCE PROGRAM (TITLE I FUNDS)	HOPE ASSOCIATES WASHINGTON, D. C. (P) 9/ 1/78 TO 4/30/79	BAKER P	95000
1 78 030	300-78-0003 FUNDING HISTORY, FY 78: 92868	TITLE I PROJECT DEVELOPER SUPPORT SYSTEM (PIPS FUNDS)	NETWORK OF INNOVATIVE SCHOOLS ANDOVER, MASS. (N) 11/14/77 TO 2/28/79	BEZDEK OPBE	92868
1 78 031	300-78-0527 FUNDING HISTORY, FY 78: 2117318	A STUDY OF FEDERAL AND STATE DISSEMINATION STRATEGIES ($1,519,700 PIPS AND $597,618 FOLLOW THRU FUNDS)	NETWORK OF INNOVATIVE SCHOOLS ANDOVER, MASS. (N) 9/30/78 TO 6/30/81	BEZDEK OPBE	2117318

7.

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER		DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJCT MONITOR & ORGANIZATION	OBLIG. DOLLARS
1 78 040	300-78-0521		STUDY OF SUPPLEMENTAL TRAINING AVAILABLE TO FOLLOW THROUGH PARENTS AND AIDES (FOLLOW THRU FUNDS)	REHAB GROUP, INC. ARLINGTON, VIRGINIA 9/30/78 TO 7/31/80	(P)	OKADA OPBE	50769
	FUNDING HISTORY, FY 781	50769					
1 78 041	300-78-0486		JOINT MODEL STUDY PROJECT: HIGH/SCOPE FOUNDATION AND UNIVERSITY OF KANSAS (FOLLOW THRU FUNDS)	HIGH/SCOPE ED RES FOUNDATION YPSILANTI, MICH. 9/30/78 TO 9/30/79	(N)	BURNS OPBE	79278
	FUNDING HISTORY, FY 781	79278					
1 78 042	300-78-0458		PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	UNIVERSITY OF NORTH CAROLINA CHAPEL HILL, NORTH CAROLINA 9/30/78 TO 1/ 1/80	(A)	OZENNE OPBE	48864
	FUNDING HISTORY, FY 781	48864					
1 78 043	300-78-0459		PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	SOUTHWEST EDUC DEVELOPMENT LABS AUSTIN, TEXAS 9/30/78 TO 1/ 1/80	(N)	OZENNE OPBE	48592
	FUNDING HISTORY, FY 781	48592					
1 78 044	300-78-0460		PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	GEORGIA, UNIVERSITY OF ATHENS, GA. 9/30/78 TO 1/ 1/80	(A)	OZENNE OPBE	53682
	FUNDING HISTORY, FY 781	53682					
1 78 045	300-78-0456		PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	UNIVERSITY OF OREGON EUGENE, OREGON 9/30/78 TO 1/ 1/80	(A)	OZENNE OPBE	49799
	FUNDING HISTORY, FY 781	49799					
1 78 046	300-78-0457		PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	UNIVERSITY OF KANSAS LAWRENCE, KANSAS 9/30/78 TO 1/ 1/80	(A)	OZENNE OPBE	70739
	FUNDING HISTORY, FY 781	70739					
1 78 047	300-78-0455		PLANNING INFORMATION FOR FOLLOW THROUGH EXPERIMENTS (FOLLOW THRU FUNDS)	GEORGIA STATE UNIVERSITY ATLANTA, GEORGIA 9/30/78 TO 1/31/80	(A)	OZENNE OPBE	45352
	FUNDING HISTORY, FY 781	45352					
1 78 048	300-78-0443		EXAMINATION OF ALTERNATIVES FOR FOLLOW THROUGH EXPERIMENTATION (FOLLOW THRU FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. 9/30/78 TO 8/31/79	(P)	BURNS OPBE	471511
	FUNDING HISTORY, FY 781	471511					

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                              SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979
SER.
NO.            CONTRACT NUMBER             DESCRIPTION OF CONTRACT                    CONTRACTOR NAME,         PROJECT MONITOR   OBLIG.
                                                                                    LOCATION, AND TYPE,      & ORGANIZATION    DOLLARS
                                                                                    START AND END DATES

....................SUBTOTAL ELEMENTARY AND SECONDARY PROGRAMS                             0

   FUNDING HISTORY, FY 67-69:         0
                          70:         0
                          71:         0
                          72:         0
                          73:   2352600
                          74:   6335326
                          75:   9464529
                          76:   4605476
                          77:  10437642
                          78:  18931140
                          79:   2264602
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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
3. POSTSECONDARY PROGRAMS					
3 75 003	300-75-0343 COMPLETED--REPORT AVAILABLE ED148232-36 FUNDING HISTORY, FY 75: 444703 76: 77000 77: 32524	COOPERATIVE EDUCATION: A NATIONAL ASSESSMENT	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 7/ 1/75 TO 11/30/77	HERSHNER OPBE	554227
3 75 004	300-75-0382 FUNDING HISTORY, FY 75: 677200 76: 452800 78: 15000	STUDY OF IMPACT OF STUDENT FINANCIAL AID PROGRAMS--PHASE II (INCLUDES $150,000 BEOGS FUNDS IN 75 & $250,000 BEOGS FUNDS IN 76)	HIGHER EDN RESEARCH INSTITUTE LOS ANGELES, CALIF. (P) 7/ 1/75 TO 4/30/79	HAINES OPBE	1145000
3 75 007	300-75-0383 COMPLETED--REPORT AVAILABLE ED134845,145732,42 FUNDING HISTORY, FY 75: 227288 76: 46129 77: 113843	STUDY OF FEDERAL ELIGIBILITY AND CONSUMER PROTECTION STRATEGIES	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 7/ 1/75 TO 6/30/78	GREEN OPBE	387260
3 76 005	300-76-0377 COMPLETED--REPORT AVAILABLE ED150931 FUNDING HISTORY, FY 76: 246882 78: 36694	A REVIEW OF STATE OVERSIGHT IN POSTSECONDARY EDUCATION	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 7/ 1/76 TO 12/31/77	GREEN OPBE	283576
3 76 006	300-76-0379 COMPLETED--REPORT AVAILABLE ED148226-28 FUNDING HISTORY, FY 76: 157155	STUDY OF THE STATE STUDENT INCENTIVE GRANT PROGRAM AND STATE SCHOLARSHIP PROGRAM	EDUCATION COMM. FOR THE STATES DENVER, COLO. (N) 8/ 1/76 TO 7/31/78	HAINES OPBE	157155
3 76 007	300-76-0514 FUNDING HISTORY, FY 76: 278811 78: 169839	STUDY OF SELECTED INSTITUTIONS AND STUDENTS PARTICIPATING IN THE FEDERALLY INSURED STUDENT LOAN PROGRAM	CRESAP, MCCORMICK & PAGET WASHINGTON, D.C. (P) 9/29/76 TO 3/31/79	MORRISSEY OPBE	448650
3 76 008	300-76-0539 COMPLETED--REPORT AVAILABLE ED154670-75 FUNDING HISTORY, FY 76: 439510 77: 97636	EVALUATION OF DEMONSTRATION MODELS FOR THE SPECIAL PROGRAMS FOR STUDENTS FROM DISADVANTAGED BACKGROUNDS	SYSTEM DEVELOPMENT CORP. SANTA MONICA, CAL. (P) 9/30/76 TO 1/31/78	BERLS OPBE	537146

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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
3 76 010	IAD-0-74-036 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 76: 62900	HIGHER EDUCATION PANEL	NATIONAL SCIENCE FOUNDATION WASHINGTON, D. C. 7/ 1/76 TO 11/30/77	(F)	RATNOFSKY OPBE	62900
3 76 011	OEC-0-73-7052 COMPLETED--REPORT AVAILABLE ED148891 FUNDING HISTORY, FY 76: 157761	AN EVALUATION OF UPWARD BOUND: A FOLLOW-UP (SEE ALSO 373009)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 9/30/76 TO 10/31/77	(N)	CARROLL OPBE	157761
3 77 001	300-77-0486 FUNDING HISTORY, FY 77: 377095 78: 644781	STUDY OF STATE REQUIREMENTS FOR FORMING STATE GUARANTEE AGENCIES IN THE GUARANTEED STUDENT LOAN PROGRAM	TOUCHE, ROSS & CO. WASHINGTON, D.C. 10/ 1/77 TO 7/31/79	(P)	MORRISSEY OPBE	1021876
3 77 002	300-77-0497 FUNDING HISTORY, FY 77: 325751 78: 33300	EVALUATION OF THE OE CRITERIA FOR THE RECOGNITION OF ACCREDITING AND STATE APPROVAL AGENCIES	EDUCATIONAL TESTING SERVICE PRINCETON N.J. 10/ 1/77 TO 7/31/79	(N)	BERLS OPBE	359051
3 77 003	300-77-0498 FUNDING HISTORY, FY 77: 578772 78: 588182	STUDY OF PROGRAM MANAGEMENT PROCEDURES IN THE CAMPUS-BASED AND BASIC GRANT PROGRAMS ($294,090 BEOGS FUNDS IN FY78)	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. 10/ 1/77 TO 3/31/80	(P)	RATNOFSKY OPBE	1166954
3 77 004	HEW-100-77-0081 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 77: 59994	EVALUATION OF THE VETERANS' COST OF INSTRUCTION PROGRAM	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 9/24/77 TO 5/31/78	(N)	CARROLL OPBE	59994
3 77 005	EEF0002002 COMPLETED FUNDING HISTORY, FY 77: 70000	SUPPORT OF HIGHER EDUCATION PANEL	NATIONAL SCIENCE FOUNDATION WASHINGTON, D. C. 9/30/77 TO 9/30/78	(F)	RATNOFSKY OPBE	70000
3 77 006	300-77-0538 COMPLETED FUNDING HISTORY, FY 77: 46791 78: 4815	STUDY OF HEA TITLE IX GRADUATE EDUCATION PROGRAMS	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. 10/ 1/77 TO 2/ 1/78	(P)	HERSHNER OPBE	51606
3 77 007	SEVERAL COMPLETED FUNDING HISTORY, FY 77: 64000	PREPARATION OF BACKGROUND PAPERS FOR THE HEA TITLE IX STUDY OF GRADUATE EDUCATION PROGRAMS	MISCELLANEOUS 7/14/77 TO 11/17/77	( )	HERSHNER OPBE	64000

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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
3 77 008	300-77-0157 COMPLETED--REPORT AVAILABLE ED148239-44,149691,706,7,10 FUNDING HISTORY, FY 77: 23794	PILOT STUDY OF HEA TITLE III FUNDED INSTITUTIONS: METHODOLOGY FOR CASE STUDIES (FOLLOW-ON TO 375005)	HARVARD UNIVERSITY CAMBRIDGE, MASS. 3/ 1/77 TO 10/30/77	(B)	KOCH OPBE	23794
3 77 010	300-77-0298 COMPLETED--REPORT AVAILABLE ED150930 FUNDING HISTORY, FY 77: 18440	STUDY OF THE RELATIONSHIP OF THE WILLINGNESS AND ABILITY OF PARENTS TO CONTRIBUTE TO THE COSTS OF POSTSEC ED (SEE ALSO 378001)	COLLEGE ENTRANCE EXAM BOARD NEW YORK, N. Y. 9/15/77 TO 12/31/77	(N)	KOCH OPBE	18440
3 77 011	300-77-0396 COMPLETED FUNDING HISTORY, FY 77: 24700	MAXIMIZING PRODUCTIVITY IN THE HISTORICALLY BLACK GRADUATE SCHOOLS	LYNCH, JEAN MARGARET NEW ORLEANS, LA. 9/19/77 TO 8/31/78	(I)	HERSHNER OPBE	24700
3 77 013	P00-77-0312 COMPLETED FUNDING HISTORY, FY 77: 7600	ANALYSIS OF STUDENT AID PACKAGES AND DEFAULTER CHARACTERISTICS	SYSTEMS GROUP INC. WASHINGTON, D.C. 6/ 1/77 TO 6/30/78	(P)	KOCH OPBE	7600
3 77 014	HEW-100-76-0128 COMPLETED FUNDING HISTORY, FY 77: 25000	ANALYSIS OF CAMPUS-BASED PROGRAM DATA FOR NDSL REVOLVING STATUS, NDSL CONTRIBUTIONS, AND MARGINAL CWS ASSISTANCE RECIPIENTS	VALUE ENGINEERING COMPANY ALEXANDRIA, VA. 9/30/77 TO 9/30/78	(P)	KOCH OPBE	25000
3 78 001	P00-78-0096 COMPLETED--REPORT AVAILABLE ED150930 FUNDING HISTORY, FY 78: 3500	STUDY OF THE RELATIONSHIP OF THE WILLINGNESS AND ABILITY OF PARENTS TO CONTRIBUTE TO THE COSTS OF POST SEC ED (FOLLOW-ON TO 377010)	COLLEGE ENTRANCE EXAM BOARD NEW YORK, N. Y. 2/23/78 TO 3/31/78	(N)	KOCH OPBE	3500
3 78 002	300-78-0037 FUNDING HISTORY, FY 78: 417000	EVALUATION OF THE UPWARD BOUND PROGRAM--A SECOND FOLLOW-UP	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 2/ 1/78 TO 11/30/79	(N)	CARROLL OPBE	417000
3 78 003	P00-78-003 COMPLETED FUNDING HISTORY, FY 78: 3380	COSTS ASSOCIATED WITH POSTSECONDARY INSTITUTIONS SEEKING ACCREDITATION	VAN ANTWERP, EUGENE I. CHEVY CHASE, MARYLAND 1/ 4/78 TO 1/31/78	(I)	GREEN OPBE	3380
3 78 004	EEF-000-2005 FUNDING HISTORY, FY 78: 100000	ANALYSIS OF 1978 FRESHMAN DATA COOPERATIVE INSTITUTIONAL RESEARCH PROGRAM (CIRP)	NATIONAL INSTITUTE OF EDUCATION WASHINGTON, D.C. 9/30/78 TO 9/30/79	(F)	RATNOFSKY OPBE	100000

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                SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER.
NO.        CONTRACT NUMBER            DESCRIPTION OF CONTRACT           CONTRACTOR NAME,              PROJECT MONITOR   OBLIG.
                                                                      LOCATION, AND TYPE,           & ORGANIZATION    DOLLARS
                                                                      START AND END DATES

3 78 005   EEF-000-2013           SUPPORT OF SUPPLY AND EDUCATION    NATIONAL SCIENCE FOUNDATION       RATNOFSKY        77190
                                  ANALYSIS GROUP OF THE HIGHER EDUCA- WASHINGTON, D. C.           (F)  OPBE
  FUNDING HISTORY, FY 78:    77190  TION PANEL                          6/30/78 TO  9/31/79

3 78 006   300-78-0208            SURVEY OF PARENTS OF HIGH SCHOOL   NATL OPINION RESEARCH CORP.       KOCH             60000
                                  SENIORS (OPBE FUNDED PORTION OF    CHICAGO, ILL.               (R)  OPBE
  FUNDING HISTORY, FY 78:    60000  NCES CONTRACT)                      9/30/78 TO 12/31/79

3 78 007   300-78-0150            A STUDY OF FINANCIAL PROBLEMS AT   AMERICAN INSTITUTES FOR RESEARCH  RODGERS          99857
                                  SMALL PRIVATE COLLEGES (OPBE FUNDED PALO ALTO, CAL.              (R)  OPBE
  FUNDING HISTORY, FY 78:    99857  PORTION OF NCES CONTRACT)           9/30/78 TO  9/30/79

3 78 008   300-78-0183            ACQUISITION OF COOPERATIVE INSTITU- HIGHER EDN RESEARCH INSTITUTE    RATNOFSKY        51650
                                  TIONAL PROGRAM (CIRP) FILES        LOS ANGELES, CALIF.         (P)  OPBE
  FUNDING HISTORY, FY 78:    51650                                      9/30/78 TO  9/30/79

3 78 009   300-78-0374            PREPARATION OF FINAL REPORT ON STUDY EDUCATION COMM. FOR THE STATES  HAINES            5600
                                  OF STATE STUDENT INCENTIVE GRANT AND DENVER, COLO.               (R)  OPBE
  FUNDING HISTORY, FY 78:     5600  STATE SCHOLARSHIP PROGRAMS          6/15/78 TO  1/31/79

3 78 010   300-78-0356            EVALUATION OF THE SPECIAL SERVICES  SYSTEM DEVELOPMENT CORP.         CARROLL         995263
                                  FOR DISADVANTAGED STUDENTS PROGRAM. SANTA MONICA, CAL.           (P)  OPBE
  FUNDING HISTORY, FY 75:   995263                                      9/ 5/78 TO  1/31/81

3 78 011   300-78-0440            A STUDY OF SOURCES OF LOAN FUNDS    UNIVERSITY OF PENNSYLVANIA       KOCH             70573
                                  FOR STUDENTS AND THEIR PARENTS.     PHILADELPHIA, PENNSYLVANIA  (A)  OPBE
  FUNDING HISTORY, FY 78:    70573                                      9/30/78 TO 12/31/79

3 78 012   300-78-0086            THREE ASPECTS OF THE FINANCIAL AID-- CATSIAPSIS, GEORGE              HAINES           17940
                                  COLLEGE MATRICULATION NEXUS        CHICAGO, ILLINOIS           (I)  OPBE
  FUNDING HISTORY, FY 78:    17940                                      6/29/78 TO  7/31/79

....................SUBTOTAL POSTSECONDARY PROGRAMS                         0                                          .

  FUNDING HISTORY, FY 67-69:       0
                        70:        0
                        71:        0
                        72:        0
                        73:        0
                        74:        0
                        75:  1349191
                        76:  1018948
                        77:  1865940
                        78:  3394704
                        79:        0
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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
5. OCCUPATIONAL, HANDICAPPED, DEVELOPMNTL					
5 76 001	300-76-0315 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 761 341992 771 252136 781 29393	ASSESSMENT OF AREA VOCATIONAL EDUCATION FACILITIES AND CONSTRUCTION RESOURCES ($50,000 NCES FUNDS IN FY77)	WESTAT, INC. ROCKVILLE, MD. (P) 7/ 1/76 TO 9/30/78	RATTNER OPBE	623521
5 76 301	300-76-0404 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 761 209308 771 1936 781 25256	STUDY OF LIBRARY COOPERATIVE NETWORKS AND DEMONSTRATION PROGRAMS AND PROJECTS	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 9/17/76 TO 3/31/78	KIRSCHENBAUM OPBE	236500
5 76 302	300-76-0533 FUNDING HISTORY, FY 761 68077 771 3033 781 22221	AREA POP III MANAGEMENT PLAN	PUBLIC BROADCASTING SERVICE WASHINGTON, D.C. (N) 10/ 1/76 TO 2/28/79	MARONEY OPBE	93331
5 76 303	400-76-043 COMPLETED FUNDING HISTORY, FY 761 55250 771 6000 781 2200	PROPAGATION ANALYSIS AND COVERAGE CONTOURS	ELECTROMAGNETIC COMP ANAL CENTER ANNAPOLIS, MD. (F) 10/ 1/76 TO 4/30/78	MARONEY OPBE	63450
5 76 501	300-76-0369 FUNDING HISTORY, FY 761 258391 771 119624 781 38754	STUDY OF INFO NEEDS FOR NATL READING IMP PROG, EVAL OF SPEC EMPHASIS PROJS PROG, & FEASIBILITY STUDY OF EVAL OF RIF (R2R FUNDS)	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 7/ 1/76 TO 1/31/79	RATTNER OPBE	416769
5 76 502	300-76-0397 FUNDING HISTORY, FY 761 181422 771 420774 781 307519	ASSESSMENT OF PROGRAMS AND PROJECTS FUNDED UNDER TITLE IV OF PL 92-318, INDIAN EDUCATION ACT--PART A	COMMUNICATIONS TECHNOLOGY CORP. BETHESDA, MD. (P) 7/15/76 TO 1/31/79	FLEMING OPBE	909715
5 77 001	300-77-0318 FUNDING HISTORY, FY 771 905972	STUDY OF THE EXTENT OF SEX DISCRIMINATION AND SEX STEREOTYPING IN VOC ED PROGRAMS, ETC. ($798,500 SEX STEREOTYPING FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 7/22/77 TO 3/31/79	SHULER OPBE	905972

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
5 77 002 CANCELLED FUNDING HISTORY, FY 77: 340426	300-77-0536	MODELS FOR STATE USE IN EVALUATING VOCATIONAL EDUCATION (VOC ED FUNDS)	CONTRACT RESEARCH BELMONT, MASS. (P) 10/ 1/77 TO 10/26/78	SCATES OPBE	340426
5 77 003 FUNDING HISTORY, FY 77: 409203	300-77-0240	THE STATUS AND IMPACT OF BILINGUAL VOCATIONAL TRAINING ($250,143 VOC ED FUNDS)	KIRSCHNER ASSOCIATES WASHINGTON, D.C. (P) 6/ 3/77 TO 5/31/79	SHULER OPBE	409203
5 77 004 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 77: 228436 78: 3079	300-77-0303	IDENTIFICATION OF EVALUATED, EXEMPLARY ACTIVITIES IN CAREER EDUCATION (K-12) (CAREER ED FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. (N) 8/ 1/77 TO 7/31/78	SCATES OPBE	231515
5 77 005 COMPLETED FUNDING HISTORY, FY 77: 7500 78: 15000	FUNDS TRANSFER	COMPUTER SERVICES IN CONNECTION WITH DATA ANALYSIS FOR AREA VOCATIONAL FACILITIES PROJECT	NATIONAL INSTITUTES OF HEALTH BETHESDA, MD. (F) 4/15/77 TO 9/30/78	RATTNER OPBE	22500
5 77 301 COMPLETED--REPORT AVAILABLE ED FUNDING HISTORY, FY 77: 323582 78: 50500	300-77-0019	A SURVEY OF VIEWERSHIP OF TELEVISION SERIES SPONSORED BY ESAA LEGISLATION (ESAA FUNDS)	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. (P) 1/ 1/77 TO 7/31/78	KIRSCHENBAUM OPBE	374082
5 77 302 FUNDING HISTORY, FY 77: 87986 78: 185277	300-77-0488	AN ASSESSMENT OF THE ESAA-TV PROGRAM THROUGH AN EXAMINATION OF ITS PRODUCTION, DISTRIBUTION, AND FINANCING (ESAA FUNDS)	ABT ASSOCIATES CAMBRIDGE MASS. (P) 9/27/77 TO 6/30/79	KIRSCHENBAUM OPBE	273263
5 77 501 COMPLETED--REPORT AVAILABLE FUNDING HISTORY, FY 77: 168733 78: 16652	300-77-0159	A DESCRIPTION AND ASSESSMENT OF PROJECTS FUNDED BY THE COMMUNITY EDUCATION PROGRAM ($100,000 COMMUNITY ED FUNDS IN FY77)	DEVELOPMENT ASSOCIATES, INC. WASHINGTON, D.C. (P) 4/10/77 TO 7/31/78	MESSIER OPBE	185385
5 77 502 COMPLETED FUNDING HISTORY, FY 77: 25000 78: 25000	HEW-100-78-0127	PREPARATION OF COMPUTER-PREPARED TABLES FOR ANNUAL CONGRESSIONAL REPORT ON STATE USES OF FEDERAL EDUCATION FUNDS	PINKERTON COMPUTER CONSULTANTS BAILEY'S CROSSROADS, VA. (P) 2/15/77 TO 12/31/78	SPITZER OPBE	50000

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SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER		DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	UNLIG. DOLLARS
5 77 503	FUNDS TRANSFER COMPLETED FUNDING HISTORY, FY 771	 140000	SUPPORT FOR READING AND READING RELATED PROJECTS IN A SERVICE INTEGREGATION PROGRAM FOR DIS- ADVANTAGED YOUTH	COMMUNITY SERVICES ADMIN. WASHINGTON, D.C. 9/30/77 TO 9/30/78	(F)	N.A. CSA	140000
5 78 001	300-78-0469 FUNDING HISTORY, FY 781	 311402	ASSESSMENT OF THE OPERATION OF THE ADULT EDUCATION ACT STATE GRANT PROGRAM	DEVELOPMENT ASSOCIATES ARLINGTON, VIRGINIA 9/30/78 TO 12/31/79	(P)	TUCKER OPBE	311402
5 78 002 -	300-78-0249 FUNDING HISTORY, FY 781	 212263	EVALUATION OF STATE PLANS IN CAREER EDUCATION ($50,000 CAREER ED FUNDS)	SWRL ED RESEARCH & DEVELOPMENT LOS ALAMITOS, CALIFORNIA 9/30/78 TO 7/31/79	(N)	SCATES OPBE	212263
5 78 101	300-78-0269 FUNDING HISTORY, FY 781	 2467631	TEACHER CORPS PROGRAM 78 AND PROGRAM 79 EVALUATION ($2,397,631 TEACHER CORPS FUNDS)	STANFORD RESEARCH INSTITUTE MENLO PARK, CALIF. 8/ 4/78 TO 12/31/83	(N)	TUCKER OPBE	2467631
5 78 201	300-78-0356 FUNDING HISTORY, FY 781	 104535	AN ASSESSMENT OF THE CAPACITY BUILDING ACCOMPLISHMENTS OF THE REGIONAL RESOURCE CENTERS	COMMUNICATIONS TECHNOLOGY CORP MARLTON, NEW JERSEY 9/ 5/78 TO 3/31/80	(P)	KAINATH OPBE	104535
5 78 301	300-78-0572 FUNDING HISTORY, FY 781	 405000	AN EVALUATION OF TITLE I OF THE LIBRARY SERVICES AND CONSTRUCTION ACT	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. 9/30/78 TO 9/30/80	(P)	KIRSCHENBAUM OPBE	405000
5 78 501	300-78-0047 FUNDING HISTORY, FY 781	 114292	EVALUATION OF THE RIGHT TO READ SPECIAL EMPHASIS PROJECTS ($108,976 RIGHT TO READ FUNDS)	GENERAL RESEARCH CORP MCLEAN, VA. 9/ 5/78 TO 12/31/79	(P)	RATTNER OPBE	114292
5 78 502	300-78-0400 FUNDING HISTORY, FY 781	 119201	A STUDY OF THE INEXPENSIVE BOOK DISTRIBUTION PROGRAM (RIGHT TO READ FUNDS)	GENERAL RESEARCH CORP MCLEAN, VA. 9/30/78 TO 12/31/79	(P)	RATTNER OPBE	119201

16.

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                          SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979
SER,
NO.              CONTRACT NUMBER            DESCRIPTION OF CONTRACT            CONTRACTOR NAME,        PROJECT MONITOR   OBLIG,
                                                                               LOCATION, AND TYPE,     & ORGANIZATION    DOLLARS
                                                                               START AND END DATES

*******************SUBTOTAL OCCUPATIONAL, HANDICAPPED, DEVELOPMNTL                0
  FUNDING HISTORY, FY 67-69:          0
                         70:          0
                         71:          0
                         72:          0
                         73:          0
                         74:          0
                         75:          0
                         76:    1118880
                         77:    3844341
                         78:    6659375
                         79:          0
                         SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER.
NO.          CONTRACT NUMBER              DESCRIPTION OF CONTRACT            CONTRACTOR NAME,             PROJECT MONITOR   OBLIG.
                                                                          LOCATION, AND TYPE,          & ORGANIZATION   DOLLARS
                                                                          START AND END DATES

9. MISCELLANEOUS

9 70 099     SEVERAL                    FIELD READERS, SMALL PURCHASE       MISCELLANEOUS                  SEVERAL          390877
                                        ORDERS, PRINTING, TRAVEL, ETC.                                ( )  OPBE
                                        (INCLUDES FUNDS FROM SEVERAL         7/ 1/69 TO  9/30/78
                                        SOURCES IN FY'S 76, 77 AND 78)
  FUNDING HISTORY, FY 701       7465
                      711      37869
                      721      44645
                      731      45342
                      741      57200
                      751      38188
                      761      83622
                      771      66143
                      781      10403

9 70 299     SEVERAL                    PLANNING AND EVALUATION FUNDS        MISCELLANEOUS                 SEVERAL        12772461
                                        TAPPED FOR USE BY OFFICE OF THE                               ( )
                                        ASSISTANT SECRETARY FOR PLANNING     7/ 1/69 TO  9/30/78
                                        AND EVALUATION
  FUNDING HISTORY, FY 701    1561534
                      711    1816784
                      721    1962496
                      731    1213178
                      741     779626
                      751     782561
                      761    1555750
                      771    1387880
                      781    1712700

9 72 040     FUNDS TRANSFER             COMPUTER TIME IN SUPPORT OF         DATA MANAGEMENT CENTER/OS/DHEW   DEVER          769581
                                        PLANNING AND EVALUATION PROJECTS    WASHINGTON, D.C.            (F)  OPBE
                                                                             7/ 1/71 TO  9/30/78
  FUNDING HISTORY, FY 721     124000
                      731      33581
                      741     146800
                      751     170000
                      761     197500
                      771      97500
                      781        200

9 77 031     HEW-100-77-0034            COMPUTER TIME IN SUPPORT OF         COMNET COMPUTER NETWORK CORP.    DEVER          280124
                                        PLANNING AND EVALUATION PROJECTS    WASHINGTON, D.C.            (P)  OPBE
                                                                             5/ 1/77 TO  9/30/78
  FUNDING HISTORY, FY 771      33124
                      781     247000
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IX

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF JANUARY 10, 1979

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	OBLIG. DOLLARS
....................SUBTOTAL MISCELLANEOUS			0		

FUNDING HISTORY, FY 67-69:	0
70:	1568999
71:	1854653
72:	2131093
73:	1292101
74:	983626
75:	940749
76:	1836872
77:	1584647
78:	1970303
79:	0

APPENDIX B.

PROGRESS IN IMPLEMENTING SECTION 151 OF TITLE I OF THE ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965

Progress in Implementing Section 151 of Title I of the Elementary and Secondary Education Act of 1965

Legislation:	Expiration Date:
Section 183 of Title I of the Elementary and Secondary Education Act of 1965, as amended	September 30, 1983

Funding History	Year	Authorization	Appropriation 1/
	1975	$9,380,000	$1,400,000
	1976	9,500,000	3,250,000
	1977	10,250,000	3,750,000
	1978	11,425,000	10,445,000
	1979	13,675,000	11,000,000

Program Goals and Objectives:

Section 183 of ESEA Title I lists specific activities required of the Commissioner. The section can be summarized as follows:

The Commissioner shall

- provide for independent evaluations which describe and measure the impact of programs and projects assisted under this title ...

- develop and publish standards for evaluation of program or project effectiveness ...

- consult with State and local representatives to develop a schedule for local evaluations such that a representative sample of them in each State are done each year ...

1/ Subsection (i) of Section 183 authorizes the Commissioner of Education to expend up to one-half of one percent of the funds appropriated for the Title I program to carry out the provisions of Section 183. For fiscal years 1975, 76, and 77, $5,000,000 of the Section 151 appropriation was used by the National Institute of Education to conduct their study mandated by Section 821 of Public Law 93-380; for FY 78 NIE used $555,000. The appropriation figures for USOE reflect the reductions.

- consult with State agencies in order to provide for jointly sponsored objective evaluation studies ...

- provide to State educational agencies, models for evaluations of all programs conducted under this title ... which shall include uniform procedures and criteria to be utilized by local educational agencies, as well as by the State agency.

- provide such technical and other assistance as may be necessary to State educational agencies to enable them to assist local educational agencies in the development and application of a systematic evaluation of programs in accordance with the models developed by the Commissioner.

- develop a system for the gathering and dissemination of results of evaluations and for the identification of exemplary programs.

Subsection (f) of Section 183 describes the models further as specifying "objective criteria" and "outlining techniques and methodology" for producing data which are "comparable on a statewide and nationwide basis.'

Subsection (g) requires a report on the results of the local and State evaluations on February 1 of 1980, 1982, and 1984.

The goals of this evaluation program follow closely the requirements of the Section and the guidance offered in hearings during its passage and the passage of the Amendments of 1976 and 1978.

Program Operations

The implementation of Section 183 of ESEA, Title I was assigned by the Commissioner of Education to the Office of Evaluation and Dissemination* upon the passage of the Education Amendments of 1974 in August of that year. Personnel in its Elementary and Secondary Programs Divisions (ESPD) have been responsible for administering the evaluation program and for reporting on its progress to Congress and other groups. Personnel in the Division of Education for the Disadvantaged responsible for administering the Title I program are also involved in the effort.

Together they have formed a group to plan and perform the various activities of the program. The group is headed by an Evaluation Specialist from ESPD and is comprised of nine staff members who work full-or part-time on Section 183 activities. They are responsible individually or jointly for specific parts of the program, such as the development of evaluation models relevant to the various Title I program areas, the organization and monitoring of the work of the ten Technical Assistance Centers (TAC's), the drafting and clearance of regulations implementing portions of the Section, the publication and distribution of a newsletter, and the filling of requests for information and materials. They also attend meetings at the request of States, locals, special interest groups, and other parties as necessary to inform them of the work.

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* Office of Planning, Budgeting and Evaluation through FY 1978.

OED interacts directly with State personnel in ways which vary according to State preference. Also, occasional contacts with local districts are pursued, again at the direction of the SEA's and LEA's. Staff also work with firms under contract to develop and document evaluation models and to provide federally funded technical consulting services to States. OED meets also with members of the National Advisory Council on the Education of Disadvantaged children, of selected committees of the Council of Chief State School Officers, and of various agencies in HEW (such as the National Institute of Education and the Office of Child Development).

Program Scope:

The scope of the program to implement Section 183is dictated largely by the legislation. It involves the major areas of (1) model development, (2) technical assistance, (3) dissemination, and (4) program evaluation -- all of which incorporate another activity required by the Section: consultation with States. Each of these areas -- as well as (5) the required reporting to Congress -- will be discussed below.

1. The development of evaluation models

Subsection (d) of Section 183 requires the Commissioner of Education to "provide to State educational agencies, models for evaluations of all programs conducted under this title ... which shall include uniform procedures and criteria to be utilized by local educational agencies, as well as by the State agency in the evaluation of such programs." Work to accomplish that in one program area (the improvement of the basic skills in underachieving school children) has been underway since 1974, and during the 1977-78 school year all States had at least some of its projects using the recommended procedures. This amounted to about 40% of the nation's Title I districts. Work to address remaining technical issues and to prepare a policy manual are underway.

The development of uniform methods for assessing other Title I outcomes is underway now. That work can be outlined as shown in Table 1. Major Title I programs (Part A Basic LEA grants, Migrant education, etc.) are listed, as well as different types of outcomes any of them might address. Of primary focus is the achievement of participating children in the basic skills, since recent studies have shown this to be a major emphasis in all programs (NIE, 1976; Hoepfner, et al., 1977). Title I services may address additional objectives, however, such as facilitating children's affective development or remediating their impediments to learning (for example, poor health or nutrition). Some work to develop models for use in addressing these areas is underway and their use will be encouraged, especially at the LEA level, to assess specific services.

Title I educators have requested evaluation advice also to assess non-student outcomes; that is, the degree of parental satisfaction with Title I services and the degree to which the project is managed and implemented well. This work is being planned but is not yet underway.

2. The provision of technical assistance

a. USOE

In line with the mission of the U.S. Office of Education and with the provisions of Section 183, staff members are active in assisting State and local personnel in the use of the Title I evaluation and reporting system. Such assistance has involved the development and documentation of a computer program for the data analysis required by the models, the provision of materials explaining the models, the publication of a newsletter, the preparation of regulations regarding project evaluation and reporting, personal consultation with SEA and LEA staff, the conduct of national evaluation workshops, the establishment of Technical Assistance Centers to provide free consulting services on call, and the signing of contracts with seventeen States to further develop the system. Materials to support the adoption of improved evaluation strategies are listed in Table 2. They are being requested and distributed in great quantities. Over 15,000 copies of both of the early monographs have been disseminated; since February of 1977, over 8000 copies of the materials to use the models (second category of Table 2) have been mailed to States requesting them.

The newsletter is mailed to over 18,000 LEA's, SEA's, and other interested parties quarterly. It features information about the Section 183 activities and is meant to keep the public informed as necessary for them to administer their Title I evaluation activities. Published by OED, it contains articles by Federal, SEA, LEA, and other personnel (such as parents). Initial responses to it have been favorable.

Table 1. The Development of Evaluation Models

Type of outcome and program:	Status as of Spring, 1978
1. Achievement:	
Basic LEA grant program	- models available, in use by about 40% of nation's Title I districts in FY 78; over half for school year 79-80.
Migrant education program	- tentative ideas developed in conjunction with national evaluation study; being discussed with administrators 1978-79; small field test planned 1980-81.
Program for the Neglected or Delinquent	- developed in national evaluation study; being discussed with adminitors 1978-79.
Handicapped	- in early planning stages
2. Student non-cognitive outcomes	
a. affective development	- handbook on techniques available later summer, 1979.
b. nutritional, medical, dental improvements	- work planned for future to prepare handbooks if appropriate

c. early childhood education [2]	- work to survey project objectives and develop evaluation models complete; feasibility of models being examined.
3. Non-student outcomes	
a. parent involvement	- work intended as part of national study in FY 80.
b. project implementation	- plans are being formulated to specify good procedures for assessing project management and implementation.

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[2] These outcomes may be in various achievement or other areas as found to be of importance in such Title I projects.

The process to draft regulations has emphasized public input. Preliminary meetings were held in December 1976 with a group of State Title I Coordinators and other administrators representing Chief State School Officers; a memorandum to all States in the winter of 1978 solicited comments about relevant issues from all interested parties. A draft of regulations was circulated to all States and districts in August of 1978; and a meeting of representatives of State Title I Coordinators and of Chief State School Officers in September of 1978 offered an additional opportunity for discussion of the proposed regulations. After the publication of Proposed Rules (probably in December, 1978) hearings will be held in locations across the nation. and regulations will follow. Their issuance will effect the use of the evaluation models at that time in the few districts not already using them, making nationwide implementation of the system most probable by thel9 79-80 school year. This represents an attempt to comply with requests from interested members of Congress, as communicated in two letters in the early summer of 1978.

Table 2.Materials about Title I evaluation

		Topic	Availability
1.	The Section 183 work:		
	a.	Overview paper, May, 1977	from OED
	b.	Two papers presented at the 1977 annual meeting of the American Educational Research Association	from authors in OED
	c.	Title I Program Directive, 1976	
	d.	Testimony before the Subcommittee on Elementary, Secondary, and Vocational Education of the House Committee on Education and Labor, September, 1977	from OED
	e.	Report to Congress--"Experiences after One Year of Use"	from OED
	f.	Report about fall, 1978 meeting in St. Louis	from OED
2.	The models, specifically		
	a.	User's Guide	from OED
	b.	Pilot version of report forms, instructions, and worksheets	from OED
	c.	Computer's report (RMC Research Corporation, 1976)	from OED and ERIC
	e.	Title I Evaluation Bibliography	from OED

Table 2 (continued)

3. Relevant evaluation issues	
a. Technical pamphlets (RMC Research Corporation, 1978, revised)	from OED
b. Evaluation monograph series on	from OED and GPO
- estimating project effects	- currently
- validating project evaluations	- currently
- estimating standard costs	- currently
- examining test bias	- spring, 1979
- assessing affective growth	- summer, 1979
- managing a large-scale testing program	- spring, 1979
- sampling	- spring, 1979
- using criterion-referenced tests	- fall, 1979
4. Information about requirements	
a. memorandum about regulations issues Spring, 1978	from OED
b. Draft proposed regulations August, 1978	from OED
c. Newsletter, quarterly	from OED
d. Policy manual	from OED

b. By Technical Assistance Centers under contract to USOE

Personnel in ten Technical Assistance Centers work under contract to USOE to provide detailed, site-specific, technical advice to States, and at a State's discretion, to LEA's (Fishbein, 1977). During the school year 1977-78, their work involved the solution of "second-generation" problems as well as start-up activities in a few States and districts. Examples of services of the former type are the re-design of State data collection forms to reduce errors in LEA reporting, the conduct of workshops on the uses of evaluation data, efforts to facilitate quality control, the augmentation of SEA evaluation data collection schemes to include variables about LEA delivery of services, the investigation of ways to convert test scores to appropriate metrics without having to do table look-up, the documentation of projects' effective practices for submission to USOE for validation, the development of analysis programs for hand calculators, and the provision of advice regarding display and interpretation of data for SEA reports to groups other than USOE. Start-up activities, such as the conduct of workshops about the models, the adaptation of computer software to specific machinery, and the provision of advice about recording and manipulating data, are also an important part of TAC work as a few States decide to have their districts use the recommended techniques.

The degree to which Federal activities in providing technical assistance are effective, efficient, coordinated, overlapping, deficient, etc. is being examined in FY 79 by a panel of research and dissemination experts. Through interviews with clients of the technical assistance program-- State and local personnel--and with providers-- Federal, Technical Assistance Centers, and other contract personnel--the panel is determining the strengths and weaknesses of the current strategy. Their report will feed into various OED programmatic and procurement activities at the end of FY 79.

c. By States

Implementation of the USOE evaluation models occurs at the local level; that is, school district personnel plan the evaluation, administer tests, analyze results, use the information, and report to their States. States are responsible for training their local personnel to follow the prescribed procedures and are helped with this, as they choose, by their Technical Assistance Center personnel.

During school year 1975-76, two States and several school districts used the USOE evaluation system. Districts in over twenty States used it during the 1976-77 year, and their experiences are described in a report available from OED (Anderson, et al., 1978). Of particular relevance in that report is information about a typical time-line for an SEA to get the evaluation models in use in its districts. A general estimate was that seventeen steps over a 2-3 year period were necessary to accomplish the goal of Statewide, correct implementation of the models.

3. Dissemination

Subsection (h) of Section 183 requires the Commissioner of Education to disseminate information about effective educational practices. Work in the Office of Education to disseminate and support adoption of such practices is described in the text of the Annual Evaluation Report.

Title I projects in all settings have been submitted for approval by the joint OE-NIE Dissemination Review Panel. Nearly forty-five have been approved, and information about them is being distributed by the National Diffusion Network, as well as by the Title I office. The findings of a recent evaluation of the work of the Network are discussed also in the text of this report.

4. National evaluations

A secondary purpose of Section 183 is to sponsor national evaluations of Title I. Such studies usually describe the services and their impacts as well as develop evaluation models for use by SEA's and LEA's. Each ongoing evaluation is described in the text of this report; for details about them see the chapters on the Part A, LEA program, the Migrant education programm, and that for Neglected or Delinquent Children.

5. Reporting to Congress

Correspondence from members of the House Committee on Education and Labor has emphasized the importance of having the evaluation models in use nationwide by the 1979-80 school year. Data from that year will comprise the first full report to Congress, which will be available in the fall of 1981 (having been reported to USOE by States in January of that year).

The report form for States to use in sending those data to USOE has been refined during the fall of 1978 at four regional work sessions. Those sessions have included participation by State, Technical Assistance Center, Federal, and contractor personnel and have resulted in concrete recommendations from each group. The form will be subjected to the four - tiered clearance process in the winter of 78-79 for distribution to States in the spring of 79. This time-table will allow States barely adequate time to revise their forms for use with districts for the 79-80 year.

Some States have used the evaluation models before passage of regulations or distribution of a required reporting form. State reports for FY 78 received during the fall and early winter of 78-79 will be perused foraggregatable data, and USOE will prepare a report to Congress based on those data. It will be available by early summer of 1979.

References

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National Institute of Education, Evaluating Compensatory Education, Interim Report to Congress, Washington, D.C., 1976.

Office of Planning, Budgeting, and Evaluation, "Implementation of Section 151 of the Elementary and Secondary Education Act of 1965, Title I," U.S. Office of Education, Washington, D.C., May, 1977.

RMC Research Corporation, Further Documentation of State ESEA Title I Reporting Models and Their Technical Assistance Requirements, Mountain View, California, 1976.

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